SERIAL HOLDINGS WORKSHOP

Instructor Manual

2nd edition

Prepared by

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and

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For the Serials Cataloging Cooperative Training Program

Under the auspices of the Cooperative Online Serials Program (CONSER)

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Foreword

Serials Holdings Workshop is the second course developed by the Serials Cataloging Cooperative Training Program, a program inaugurated in 1999 under the auspices of the CONSER Program. It is interesting to note that with our second course we are diverging from the scope implied by our name--cataloging! But there is no doubt that recording holdings for serials is every bit as important and as difficult as cataloging and that the two are intertwined. Thus, the SCCTP Advisory Group firmly supported the development of this course and I am thankful to Frieda Rosenberg and Thom Saudargas for agreeing to prepare the materials. Frieda deserves special recognition for sharing her wealth of knowledge on holdings and for devoting many hours to producing a complete, attractive, and accurate set of materials. Both Frieda and Thom have many years of training experience and this will be evident from the materials.

I also want to express thanks to the following: Lucy Baron (LC), Ann Ercelawn (Vanderbilt), Ruth Haas (Harvard), Marilyn Quinn (Rutgers), and Sharon Wiles-Young (Lehigh), who reviewed and commented on draft materials; Beth Jedlicka, who organized a test session at the University of Georgia; and Sharon Wiles-Young, who presented both the final draft at the test session and the completed course for the train-the-trainer session. The enthusiasm and devotion to producing a good product evident in all of these people has been much appreciated.

SCCTP is currently developing further course materials for on-site workshops. The program plans also to develop distant learning and mentoring opportunities as it matures.

This workshop was designed to be given by SCCTP-trained trainers; however, anyone familiar with serials holdings and the MARC Format for Holdings Data can use the materials to provide training for others. These materials are system-independent as they do not reflect how any one automated system has made use of the format. However, the workshop is designed to allow time for discussion on system application. The materials can also be used for self-study. Comments on the materials are most welcome.

To learn more about SCCTP, visit the Web site at: http://lcweb.loc.gov/acq/conser/scctp.home

Jean Hirons
CONSER Coordinator
Serial Record Division
Library of Congress

December 2000

Preface

We have designed this course with the hope that local and regional institutions and associations use it to spread knowledge of the MARC Format for Holdings. Both of the authors of this workshop have spent many years giving workshops that attempted to introduce the format, but finding the right focus was difficult. In 1999, we were delighted to find that an important supporter of serials standards, the CONSER Program, felt, as we did, that a carefully designed interactive workshop with plenty of time for hands-on work would best answer the constant calls for training in this area. The course that resulted from this effort is the product of the collaboration of a number of people with a strong background in CONSER, training, and holdings, all contributing their insights and ideas over a period of many months. Above all, the program bears the stamp of the CONSER Coordinator, Jean Hirons, who worked with us constantly in this endeavor.

Aside from the presentation, which will be brought to you today by an experienced trainer, this manual contains some materials, which we hope will help you once you leave the training room. The slides used in the program have been reproduced. Depending on the length of your program, there may be extra slides from sessions that could not be presented due to time constraints. Though the technical material is always challenging, our effort was to make the slides self-explanatory and to convey principles and practices adequately even without the additional enrichment of the presenter's commentary. The manual also contains appendices with a history of the display and communications standards, a glossary, bibliography, information on some major sources of holdings data in the library world at large, and extra exercises for you to reinforce the work you did here. Finally, it contains a Handbook for the MARC21 Format for Holdings Data, which we hope will be one of the essential everyday tools that you will be using as you begin to work with the Format in your own work setting.

Both of the authors of this workshop hope that it will fill some of your needs. Your evaluation of the workshop is important to us as a guide to future training development. Please help us by filling out the evaluation form in Appendix 3 at the end of the workshop.

Frieda Rosenberg
Thom Saudargas
January 2001

Instructor's Preface

The presentation that accompanies this manual is designed for a group whose optimum size is under 25. A single trainer can present the material. The full presentation can be given in 1 ½ days, with plenty of time for discussion of problems solicited from trainees, or, if appropriate, of local system issues.

The materials in this manual are organized into nine sessions. Session 9 is an unstructured session that can be expanded at will. Sessions 2 and 8 are optional. A shortened version of the program can be given in a (long) day, omitting the two optional sessions, keeping Session 9 to a brief wrap-up discussion, and treating the Group Exercise at the end of Session 7 as a take-home exercise instead. Suggested times for the longer and the shorter option will be given later in this preface.

Any session may be shortened at the option of the instructor. Appendix 3 in this manual is a brief set of hints for PowerPoint presentations that includes ways to "hide" slides and alter the show in other minor ways. Instructors may have their own perspectives and areas of expertise. They are encouraged to enrich the workshop with their special knowledge. The Needs Assessments received before the program may also suggest topics that need coverage during the workshop.

Contents and warm-up suggestions precede sessions; summaries follow all sessions. Exercises follow the summaries in sessions 3 through 7; there are two exercises in the longest session, session 4—one at the midpoint and another at the end. Exercises—like the examples in the sessions—use made-up titles whose holdings problems are designed to illustrate the session concepts. The entire group may do these exercises individually, in small groups, or even interactively with the trainer—or the approach can vary. The workforms for the exercises are to be found at the end of the relevant sessions. During the exercises, there is a Handbook in Appendix 2 that should be used as a reference tool by trainees to answer many of their own questions about coding. Exercises, in general, add a lot of time to workshops. In addition to Session exercises, there will be Pre-Workshop exercises (and your sponsors should make sure that attendees have been given copies of these and understand they are to be completed in advance of the workshop. We have suggested these be discussed at the beginning of Session 2 (if given), or, if not, before Session 3. Evaluation forms at many holdings workshops have consistently shown that attendees feel that the exercises are a crucial part of the training they receive, so it is best to allow ample time for them.

Resources to have on hand for the presentation include the *MARC21 Format for Holdings*, in its big binder, and the smaller, newsletter-sized *Holdings Statements for Bibliographic Items (NISO Z39.71)*.

Please look through the Appendices, which contain several excursions on topics that were first contemplated to be part of the workshop, but which had to be removed because of time constraints! Be familiar with what is there so that you can refer trainees to further material that may help them.

Notes accompanying the presentation are offered to you with no requirement that they be used in a certain way. They are resources for you. The slides are intended to be self-sufficient, with the notes as enrichment material. Instructors can use the notes as a script, use them as a memory jog, highlight the ones that seem most useful, absorb just the desired facts and ideas, or ignore them altogether.

The suggested workshop schedule for the one day workshop has the day start at 8:45 and end around 5:00. The one and a half day workshop has a start time of 9:00 and an end time of 4 for the first day with the second day running from 8:30 to noon. The times listed below are suggested and depending on the group needs may be altered:

Option 1: 1-Day Workshop (Rev. June 2002)

Introductions/Logistics	8:45 - 9:15
Session 1 (21 slides) and Pre-Workshop Exercises 1	9:15 - 10:00
Session 3 (29 slides + exercise + Break)	10:00 - 11:00
Break	10:20 - 10:35
Session 4 (43 slides + 2 short exercises)	11:00 -12:30
Lunch	12:30 - 1:30
Session 5 (22 slides + exercises)	1:30 - 2:30
Session 6 (20 slides + exercise + Break)	2:30 - 3:45
Session 7 (21 slides + exercises done together)	3:45 - 4:15
Session 9 (Free discussion)	4:15 - 4:45
Wrap-up/Evaluations	4:45 - 5:00

Option 2: 1 1/2 day workshop (Rev. June 2002)

Day 1

Introductions/Logistics	9:00 - 9:30
Session 1 (21 slides) and Pre-Workshop Exercises 1	9:30 - 10:15
Session 2 (13 slides + optional vendor slides)	10:15 - 10:45
Break	10:45 - 11:00
Session 3 (29 slides + exercise + Break)	11:00 - 12:00
Lunch	12:00 - 1:00
Session 4 (43 slides + 2 short exercises)	1:00 -2:30
Break	2:30 - 2:45
Session 5 (22 slides + exercises)	2:45 - 3:45
Session 6 (20 slides + exercise + Break)	3:45 - 4:30

Day 2

Session 7 (21 slides + exercises)	9:00-10:00
Break	10:00 - 10:15
Session 8 (29 slides)	10:15 – 11:00
Session 9 (Free discussion)	11:00 - 11:50
Wrap-up/Evaluations	11:50 - 12:00

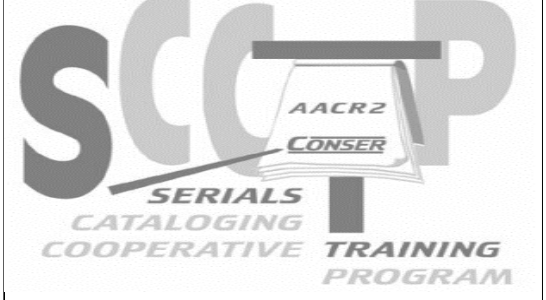
Preface to the 2nd edition, June 2002

The second edition was the work of a number of collaborators--Frieda Rosenberg, Thom Saudargas, Sharon Wiles-Young, Margi Mann, and Linda Geisler. While most of the course remains the same, changes have been made in response to comments about the original course to provide more straightforward examples and more system-specific information. Specifically, the changes include a restructuring of Session 2, new exercises for Sessions 6 and 7, an expansion of Session 8, and an expanded bibliography in Appendix 5. In addition, there are ILS slides and related text on the SCCTP trainers' resource page that may be used in Session 2 or other areas of the course and for trainers to familiarize themselves with other systems. This appendix will be added to over time and trainers should feel free to offer suggestions for additional text.

Note that the group exercise, formerly contained in Session 7, has been moved to a new Appendix 11 and further examples can be added there over time.

Jean Hirons
June 2002

TABLE OF CONTENTS – INSTRUCTOR'S MANUAL



SERIAL HOLDINGS WORKSHOP

Instructors:

Place/Date:

Session I: Introduction
Contents

Warmup Exercises
Audience introductions/elicitation of trainee information; explanation of schedules.

A. Introduction and Preliminaries
1. Objectives of the session (Slides 3-5)
2. Library functions requiring holdings data (Slide 6)
3. Why Use Holdings Standards? (Slides 7-9)

B. History of Holdings Standards
1. Ground Zero: Why were holdings standards delayed so long? (Slides 10-11)
2. The Rise of Standards(Slide12)

C. Display and Communication Standards
1. Definitions and Relationship (Slide 13)
2. Display Standard: Z39.71 (Slides 14-16)
3. Communication Standard: The MARC21 Format for Holdings Data (Slides 17-18)

Summary (Slide19)

References:

The trainer should have on hand the *MARC21 Format for Holdings Data* and *NISO Z39.71* (ordering information is in Slide 16).

Warm Up Exercises (in addition to audience introductions)

Use a flipchart to record names of systems, and whether they use MFHD (fully, partially). This chart can be developed later when future developments are mentioned. Further suggested columns:

Whether the system can fully display MARC tags and subfield codes (Yor N)
Whether the system supports direct coding of 853 and 863 paired fields (Y or N)

CONTENTS

SESSIONS

An Overview of the Workshop

Though holdings data is applicable to all materials, this workshop focuses mainly on serial holdings, which are often highly complex , time-consuming, and difficult to maintain.

The workshop starts by giving a bit of background and introducing the two types of standards we use in holdings work.

• Following this introduction, Session 2 explores the key serials holdings concepts.

• Session 3 through 7 cover the structure and functionality of the Holdings Format and touch on a few special problems and complexities. Each session will be followed by an exercise, then there will be a group exercise after Session 7.

• Session 8 examines the goals and practices of the CONSER Publication Patterns and Holdings Project.

•Session 9, on workflow and system implementation, will be left unstructured so that we can explore your concerns.

Session I: Introduction

- What are the goals of the workshop?
- What library functions are served by holdings standards?
- Why use standards? Why now?
- Why did holdings standards come on the scene so late?
- How and by whom were standards created?
- What are the basic standards?

3		SCCTP Serial Holdings Workshop June 2002

The objectives of the first session are

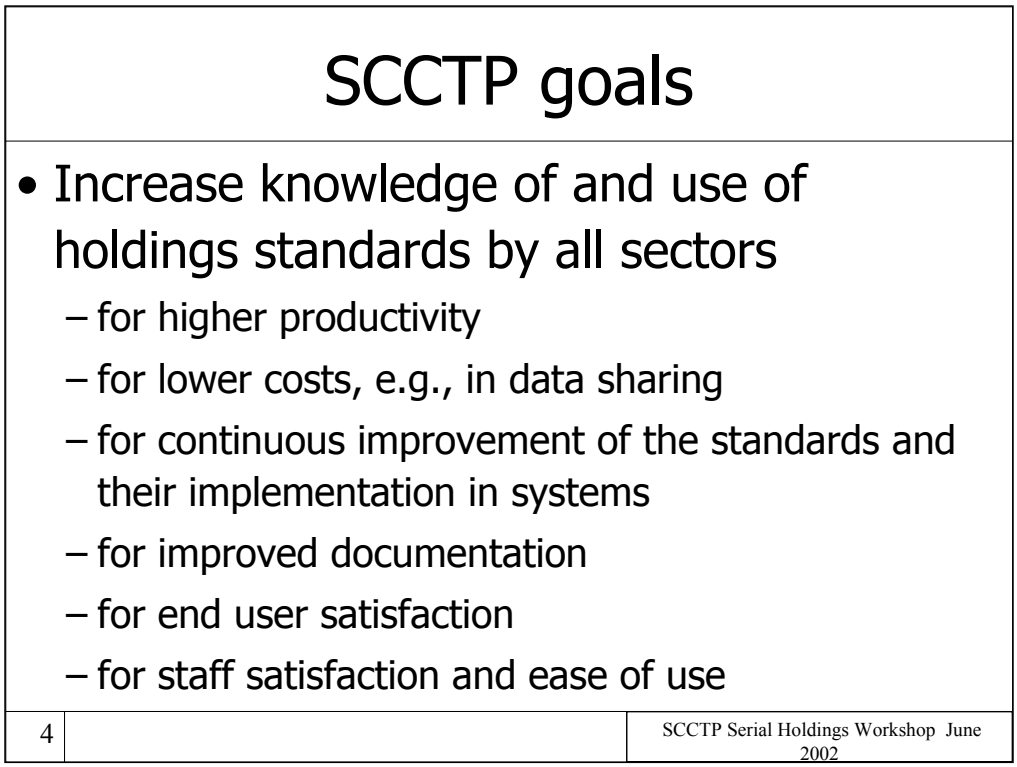
to introduce the workshop and its goals,

to give an idea of the importance of holdings in library processes,

to describe the difficult history of holdings standard creation,

to describe the two major standards for holdings

The material in this session is focused on answering some particular questions (see above).



A. Introduction and Preliminaries

1. Goals

The Serials Cataloging Cooperative Training Program (SCCTP) provides workshops in serials cataloging and serial holdings.

Each workshop focuses on standards.

The goal is to increase knowledge of, and use of, standards both

by libraries

and by library system vendors, suppliers, and utilities

The SCCTP Program is convinced that in following standards, libraries large and small will see benefits such as those given here.

Participants' goals

- Be able to create a simple holdings record
- Be able to interpret staff and public holdings displays
  - content (sources of data in libraries)
  - layout/punctuation (display standards--*Z39.71*)
  - structure/coding (*MARC Format for Holdings Data*)
- Be aware of basic holdings documentation
- Be aware of issues such as quality control and data sharing

5 | SCCTP Serial Holdings Workshop June 2002

To achieve these goals, the workshop is designed to help participants:

•create a record according to standards

•understand displays which conform to the current library holdings standards, in

–content (which may be derived from one or more library processes and is governed by NISO Z39.71, *Holdings Statements for Bibliographic Items)*)

–layout/punctuation (the current national standard is NISO Z39.71)

–coding (current standard is *MARC21 Format for Holdings Data)*

• be aware of the basic holdings documentation (see end of Appendix 1 for ordering information)

• understand how holdings information is created and maintained in systems, and shared among systems.

What library functions are served by holdings standards?

- check-in and other acquisitions processes
- binding and labeling
- circulation
- ILL
- display of multiple locations/multiple formats
- union listing/remote Z39.50 searching
- links to library holdings from indexes
- reference /preservation/collection development!

6		SCCTP Serial Holdings Workshop June 2002

2. Library Functions involving holdings data

Holdings data

a. generated through check-in of serial issues, and other acquisitions processes.

b. normally used again, and sometimes altered by compression, in the functions of binding and labelling a volume.

c. can include the elements--such as barcodes-- which allow a circulation transaction to be recorded.

d. crucial to interlibrary loan.

e. can be formatted for display of multiple locations

f. allows display of data describing multiple formats of a single title, linked to one record

g. can be submitted to a union list, which helps remote users.

h. Z39.50 searching can combine holdings data from more than one location for a unified display of holdings of the same material.

i. facilitates links to library holdings from article citation indexes (hooks to holdings)

j. In an era when

up to 40% of reference questions are answered by information found in serials,

when newspapers and older journals are deteriorating and need preservation,

and budget share going to serials is still increasing, causing headaches for collection development,

accurate serial holdings are a vital resource to any library!

Why use the standards?

- Individual library benefits
  - The database will be transferable from system to system.
  - If you start with a standard record, it is far more likely you will be able to enhance your system as new software becomes available.
  - You can buy the records rather than create them from scratch.
  - The database can be used for resource sharing.
  - Use of standards keeps the cost of automation down.

-Source: Sharon Charles' presentation on "Cost, Standards, and the Bibliographic Database" (Minnesota, 1989)

7		SCCTP Serial Holdings Workshop June 2002

3. Why use standards for holdings?

–Migration is easier

–Upgrading to a new version of your old system is easier

–It is even possible to purchase holdings records from vendors, publishers, or from other libraries editing to suit your holdings profile

–You can send your records to union lists, participate in library-to-library data exchanges, or even, in certain cases, sell them.

–You escape all the extra programming costs to parse and delimit your data, because it is already in standard format.

Why use the standards? (Cont.)

- Community benefits
  - More consistency in holdings data
  - Continuing, cooperative development of usable holdings standards
  - Increased documentation and interpretation of holdings standards
  - Cooperative and competitive urging of system vendors and utilities to implement standards
  - Shared archives of electronic holdings data
  - Effective displays for users
  - Ease of use for everyone

8 | SCCTP Serial Holdings Workshop June 2002

Community benefits

a. Consistency in data greatly aids remote searchers and automated data exchange

b. Collaboration

in making the Format work for our libraries by communicating with our standards bodies about needed improvements,

in providing better guidance in the form of interpretation of the standards for ourselves and our vendors

writing the documentation that will make the standard usable

conducting the training, such as this CONSER training

creating archives of data for common use

c. Effective display for users: it may mean negotiation with your system vendor to give you the features you need to display the holdings intelligibly.

d. Ease of use: It's also important to get these features in a form that makes your job easier too. That's not a luxury, because if it's too hard to understand and too hard to do, people won't do it.

Why now?

- More integrated library system vendors providing predictive checkin
- More libraries migrating to new systems
- Increasing awareness that existing holdings data may not migrate without special programming
- Cost-benefit analysis favors standard
- Increasing interest in sharing the work of creating patterns
- No other place to determine or confirm:
  - what has been published
  - pattern of publication

9		SCCTP Serial Holdings Workshop June 2002

This is a good time to move forward.

Serial control systems are ever more sophisticated.

Libraries are buying new systems and vendors are trying to accommodate their holdings data.

Existing holdings data can usually be mapped to MARC holdings fields, but this mapping often takes special programming, particularly if the data are just textual strings.

Standards reduce costs, increase benefits.

Archives of patterns and holdings have been long advocated, are still desirable. (The CONSER Initiative will be described in Session 8.)

<The next two slides are optional, but useful background. Some of the points could be grouped and used for discussion as warm up or in the free discussion period..>

Ground zero: Why did holdings standards come on the scene so late?

- perception of holdings as "local" data
- separation from bibliographic data in manual files
- various functions to be accommodated

10		SCCTP Serial Holdings Workshop June 2002

<OPTIONAL>

B. History of Holdings Standards

1. Before the Standards: "Ground Zero"

• A little history shows why

–holdings standards are such latecomers to the area of library standards

–lack the rich documentation that exists (for example) for cataloging rules and practices

• For decades, holdings were perceived as purely local.

–input manually in free style

– often extremely briefly summarized or rough, omitting details on where exactly the gaps were

–often physically kept in a completely different place from serials bibliographic information

» for example, in a set of microfiche while the bibliographic record was in the card catalog.

–library functions (we mentioned several in the last slide) often needed different kinds of holdings statements at various levels of detail from the issue to the whole serial run.

Ground zero (cont'd)

- various workflows for holdings processes
- union lists had their own rules
- automation led to proprietary displays and functionality
- irregularities in many publications

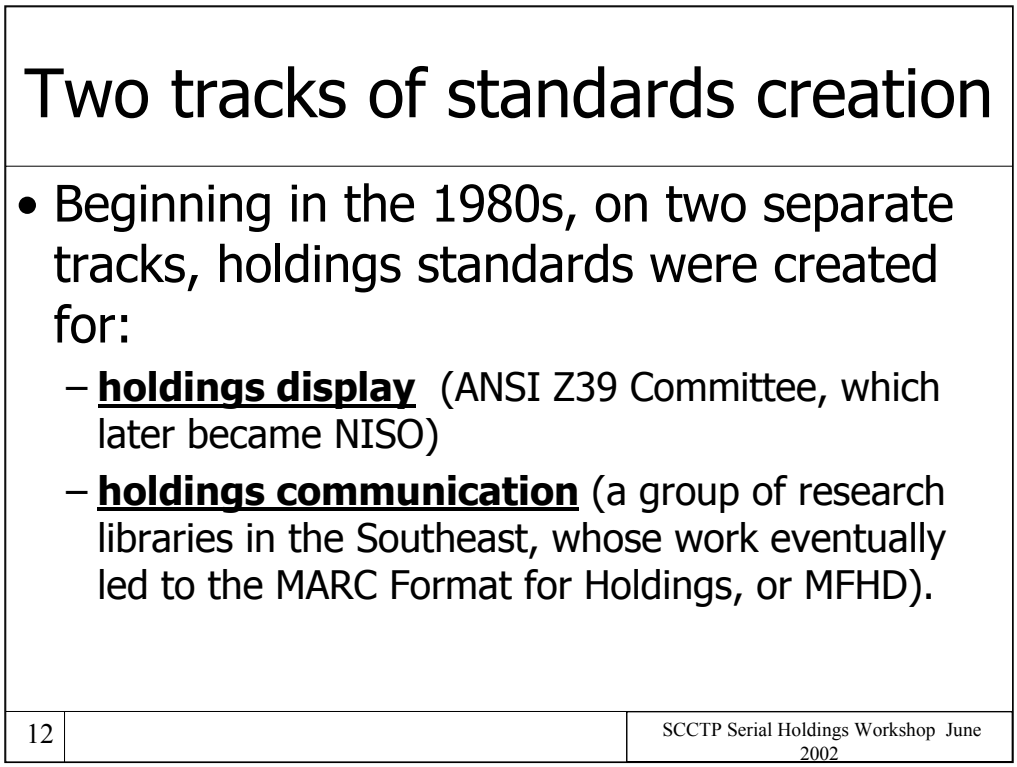
<OPTIONAL>

–These separate functions often had their own workflows in different library departments (acquisitions, cataloging, binding, circulation, reference) -- complete with separate sets of staff performing each function.

– One of the first activities which gave impetus to standardization was union listing. However, union list standardization did not come about immediately. Instead, union lists all had their own rules.

– The first automation attempts preceded standards, as well. Proprietary displays, and proprietary functionality differing from system to system, were the result.

– Not to be ignored was the perception that serials are very complex publications with many irregularities that would be hard to provide for. Most serials staff can sympathize with that view!



2. The Rise of Standards

Earliest standards, for display of holdings, were particularly oriented toward union lists.

•These have evolved to serve more functions today (specifically, check-in of issues.)

• They were promulgated by ANSI/NISO (the Z39 Committee). The first appeared in **1980**, the latest, unified standard, in **1999.**

•On a separate track, for communication of holdings, a group of southeastern research libraries wishing to share data among themselves created the *MARC Format for Holdings and Locations* in the mid-eighties (approved **1989)**.

•The new edition of MFHL is called the *MARC21 Format for Holdings Data,* or "MFHD" for short **(2000)**.

•Though there was a brief involvement by SOLINET in its early development, bibliographic utilities in general have used or promoted MFHD only minimally. An Appendix has been provided to discuss OCLC, RLIN, and other developments.

•Present expansion has also opened a discussion which we hope will broaden in order to improve management of holdings in every aspect.

Display standards

- Deal with *presentation*
- Do not require a MARC format or even automation
- Do define how the meaning of content shall be conveyed
  - Most important: have *levels of detail or specificity*
  - Define *punctuation* as signifier
- Current standard : Z39.71, ***Holdings Statements for Bibliographic Items*** *(*1999)

C. Display and Communications Standards

1. Definitions and Relationship

• *Display* standards deal with the content of a holdings statement and how it should be presented, whether manually, electronically, or some other way.

• Though the Display Standards and the Format were developed in coordination, neither requires the other. The MARC Format is capable of generating any display, and a NISO-conforming display can be achieved in a non-MARC holdings record.

•*But,* there are several places in the MFHD where you are asked to describe the level of the display standard that you are using. This requirement is usually found in the indicator position. So--even if you don't display your holdings using NISO punctuation, you still are asked to know something about the "levels."

<We'll discuss that in the next slide.>

Z39.71(1999) example

- (Detailed level 4)
  v.1:no.1-2:1(1995:Jan.-1996:Jan.) OR
  v.1:no.1(1995:Jan.)-2:1(1996:Jan.)

handles all formats; flexible itemization or summarization open holdings possible presentation options standardized, simplified punctuation

14		SCCTP Serial Holdings Workshop June 2002

2. Display Standards:

Z39.71 (Holdings Statements for Bibliographic Items (1999))

•History of the NISO display standardshows a gradual evolution.. There is an Appendix 1 for this history.

•It took a while to coordinate the rules for serials and non-serials, and those for summary holdings with those for detailed holdings (which used to be on separate standards)

•Newest standard shows increased comprehensiveness, flexibility (with presentation options) and simplification.

•It has four levels from least to most detailed. This screen shows a detailed, Level 4 or 5 holdings statement. Detailed level holdings show exactly what is held, expressing it in terms of what is held rather than what is missing. The next level below (Level 3) shows only that any volume shown has *some part* held by the library.

<Instructors are free to discuss the punctuation and layout of this holding in whatever detail they wish..

<We suggest that the hierarchy be pointed out: use of colon, chronology in parentheses, dropping of *captions* (introducing this word) possible after hyphen.

<May say that use of captions is one of the elements of the standard that has varied the most.

< Show that each part of holdings data is categorized here and that is what makes it capable of being parsed/mapped, e.g., by computer.

<Consistent punctuation in holdings statements enables them to be mapped even if not MARC-coded.>

Levels of specificity (display)

- In certain places in MFHD, indicators can state which level of the display standard you are using (**3,4,** or **5**).
  - [**1** rarely used for serials; **2** --limited retention]
  - Level **3** "*summary level*," library holds at least some part of each volume shown.
  - Level **4** "*detailed level*," shows gaps in holdings explicitly down to the issue level.
  - Level **5** "*detailed with piece designation*," adds barcode for each physical piece
- Holdings can be given in *compressed* form.

•In several places in MFHD you must state which level of the display standard you are using (3,4, or 5).

–The lowest level is seldom used for serials; 2 is often used when holdings are not specific, but a general note about retention for a limited period.

–Level 3 "summary level" -- volume listed if any of it is held. Display ordinarily is in terms of a *summary* or a range around gaps (*first vol.-hyphen-last vol*.)

–Level 4 "detailed level," shows exact holdings; all gaps down to the issue level. Levels 4 and 5 may display either as a *summary* (*fully compressed)*, or *itemized* (fully *uncompressed,* or *partially compressed* to volume level). <See below>

–Level 5 is "detailed with piece designation," which ordinarily means you have barcoded the issues or volumes shown.

<Instructors: The following explanation may help give initial idea of compression, explored further in Session 2:>

•Level 4 or 5 does not necessarily mean that each issue or even volume is given separately. It may be given compressed into a statement that shows the first and last holdings units, connected by a hyphen, as you just saw on the previous screen.

•If you are checking in, you are naturally checking in at the detailed, issue level.

–Later when you bind, you can compress the issue detail into a volume-level holding. Note: gaps in incomplete volumes still have to be shown.

–If you have several volumes, you can further compress the volume detail into a range. Note: all gaps in ranges still have to be shown.

•. You can even have an "open holding" ending with a hyphen--as long as you guarantee you are monitoring receipt. If not, you should use Level 3.

NISO Z39.71: punctuation

( )	used around chronology
-	between two volumes (etc.) or dates
/	a combined volume (etc.) or date *(even when title page has a dash)*
,	a gap
;	a non-gap break *(showing piece not published)*
=	alternative numbering systems *(both systems are on each piece)*
:	separates two levels of hierarchy *within enumeration or chronology*

•Some of the punctuation used in the NISO display standard is shown..

•All of these marks of punctuation will be illustrated later in the sessions.

<The next slide moves to the Communication standards.>

Communications standards

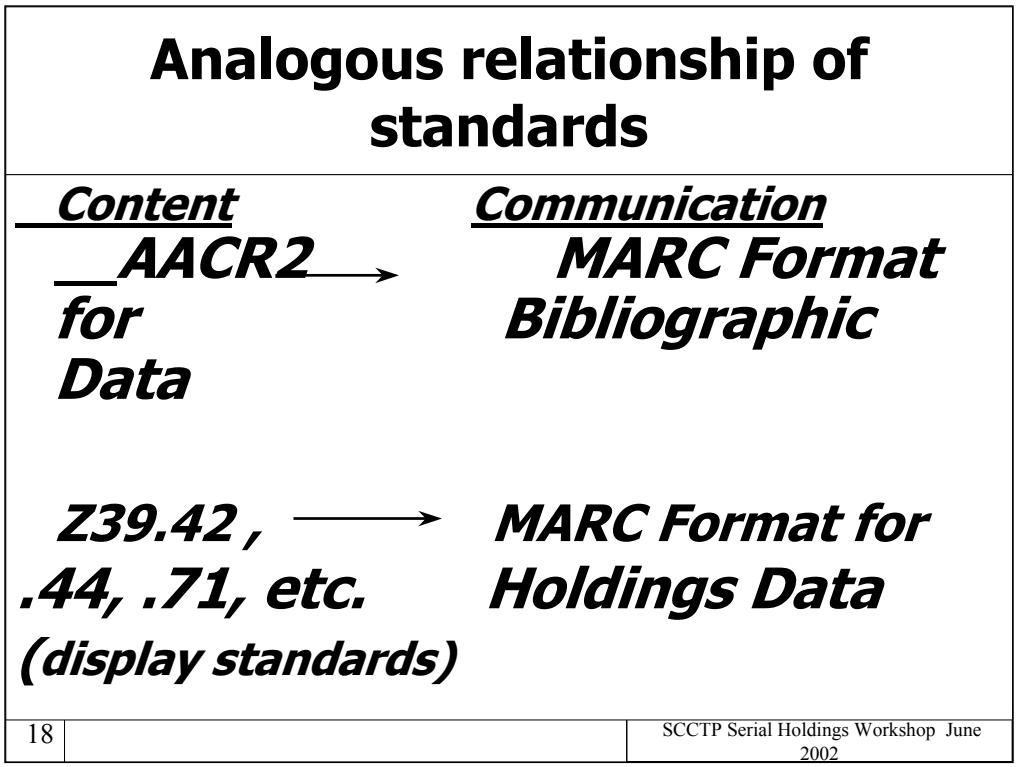
- Deal with *transmission of data* from one computer to another
- Define data elements and their coding
- Do not require any specific content nor necessarily generate a specific display
- Standard examples: The MARC formats, including the ***MARC21 Format for Holdings Data*** (2000)

3. Communications Standards

•In contrast, a *communications* standard does not prescribe content, but how it may be transmitted from one computer to another.

•The process of communication involves defining data elements to be communicated. The more specifically data elements are defined, the more sophisticated the possible manipulations of data such as searching, coordinating with external data, statistical reports, etc., can be.

•The MARC21 Format for Holdings Data is the current version of this standard and is the subject of the rest of the workshop.



Analogies

•The relationship of the holdings display standard to the *MARC Format for Holdings Data* is analogous to the relationship of AACR2 to the *MARC Format for Bibliographic Data.*

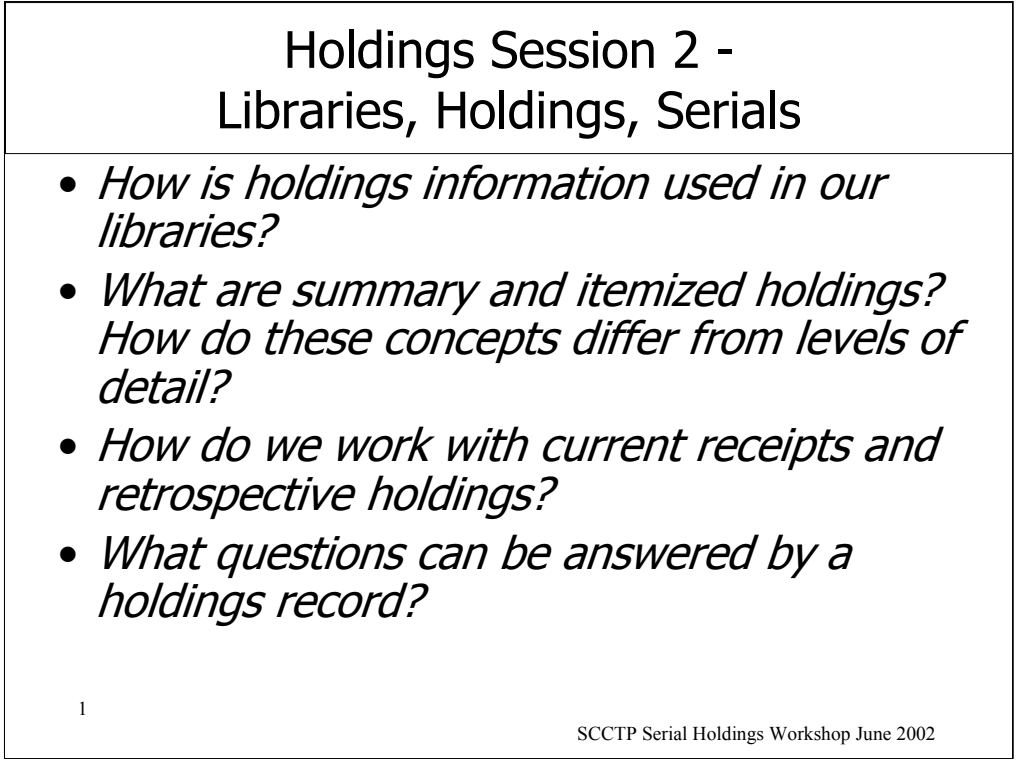
•The display standard prescribes content and defines how the presentation of the content should be handled in any kind of display. The communication standard defines the data elements that should be communicated, stored, or manipulated by the computer.

Summary

- *Holdings are an essential element in several important library functions--central to work with serials.*
- *Holdings were perceived as local data, so standardization was delayed.*
- *With adoption by various local systems and with new documentation and training, this situation is improving*
- *Two tracks of holdings standard creation focused on:*
  - *display --NISO display standard*
  - *communication --MARC Format for Holdings Data*
- *Both of these standards have been newly revised in the recent past.*

19		SCCTP Serial Holdings Workshop June 2002

<Instructors: Summary may invite further questions. In order to avoid too much theoretical or historical discussion, you can refer to Appendix 1, giving more details of the history of display standards and the MARC format, along with ordering information and hints to other help.>



Holdings Session 2 (OPTIONAL)

Contents

NOTE: THIS SESSION CAN BE OMITTED IN SHORT (ONE_DAY) WORKSHOPS.

<If there is time, this session is a good way to introduce them and build relationships between the workshop concepts, and allows some back-and-forth discussion between instructor and audience. It also allows introduction of system-specific material for appropriate audiences.>

Goal of this session

To show the role of the holdings record in library operations.

To explain the levels and forms of holdings statements needed in operations such as current check-in and retrospective holdings.

Further Questions for session

How does the holdings format interact with the OPAC display?

How does the holdings format interact with automated check-in?

What are "levels" in holdings?

How are holdings used by an automated system?

Warm-Up Exercise: The Pre-Workshop Exercises can be discussed at this point or, if preferred, at the beginning of the next session.

MFHD can answer these questions *if* coded correctly:

- How complete are the holdings for a title?
- Is the title currently received?
- Do you have plans to cancel the title?
- How is it acquired?
- Is it retained permanently, or for a limited time?
- Do you lend?
- Do you allow photocopying?

and of course,

- What individual parts of the run do you hold? In what formats?

Fine print: MFHD does not tell users whether a volume is on the shelf. This information is found in the *local item record.*

2

SCCTP Serial Holdings Workshop June 2002

Display of holdings to staff and users

•The coded and textual information can answer many questions for staff and public.

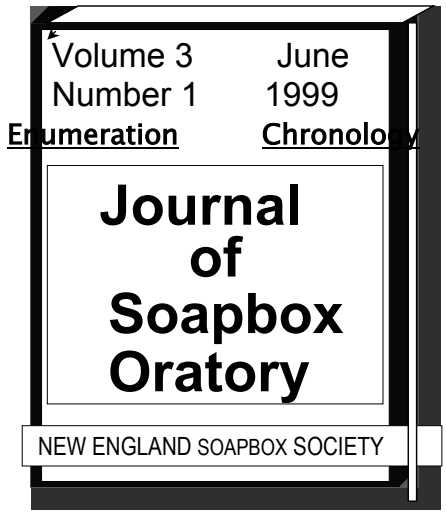
•The fixed and control fields are coded with library policy and other information about the title.

•The checked-in holdings remain and may be *compressed* for storage and display. The pattern remains in the record to govern the process of compression/expansion..

•Some local transaction and availability information is not part of the MFHD, but instead resides in the local item record. However, it may be combined with MFHD information for display to local and even to remote users.

•Reports of this information can be generated for local, regional, national, or other use.

For current receipts
MFHD starts with an issue



Issue numbering and dates are the basis for the MFHD *publication pattern.* With pattern codes, the system can predict future issues which are then checked in automatically.

(Coding is in Session 5)

3

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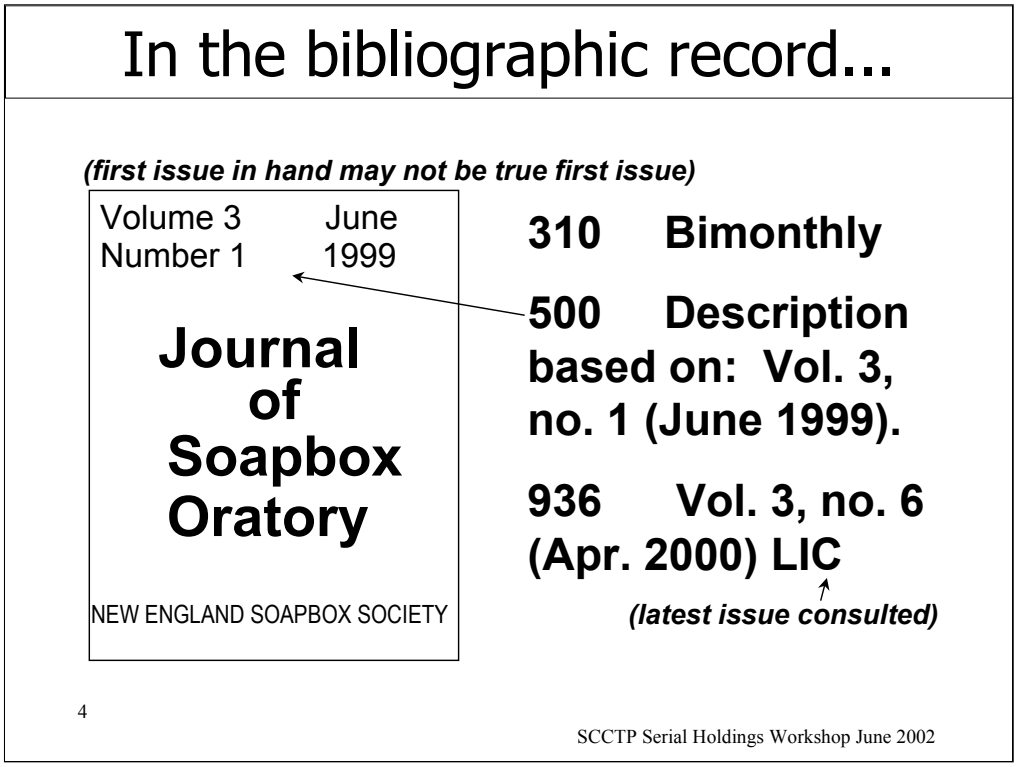
Where does the process start?

•A library may set up a MARC holdings (MFHD) record at any point for a number of different purposes. For a new serial title or setting up a system for the first time, the predictive check-in record is set up using MFHD coding. The MFHD predicts arrival of new issues by means of an embedded pattern.

•Publication pattern coding in the MFHD is covered in Session 5.



•Some may wonder, how does this relate to the bibliographic record?

•Setting up check-in is often done at the same time as cataloging. Also, we can scan an existing record for clues to a serial publication pattern.

•In the case of this journal, we (or the previous catalogers) have determined the frequency to be bimonthly.

•We don't have Vol. 1, no. 1; so we don't know whether or not this is the first issue of the Journal of Soapbox Oratory, since the title may have changed.

• We don't give **enumeration and chronology** in a formal statement, but instead give a **"Description based on"** note showing the issue cataloged from.

•Since the serial is current, we use a 936 with **"Latest Issue Consulted.**"

•All information will help set up check-in and holdings as well. Later sessions will detail that process.

<Some trainees may notice that the 362 does not use NISO punctuation. A good observation, illustrating the separate tracks followed in the development of these standards.>

A holdings display in the OPAC

TITLE: Journal of soapbox oratory.
PUBLISHER: New England Soapbox Society,
SUBJECTS: Oratory--Periodicals.

LOCATION:	CALL NUMBER:
Main Library/Periodicals	Shelved by title

ISSUES: (Currently Received)
v.4:no.1 (06|2000) ; v. 3 (1999/2000)

NEXT EXPECTED ISSUE: v.4:no.2 (08|2000)

5

SCCTP Serial Holdings Workshop June 2002

•Once issues start coming in, they are recorded in the check-in record, which updates the holdings record. The holdings record displays in the OPAC—at least the part of it that would interest users. (Users are interested above all in what volumes and issues are available.)

•The display may be the vendor's own design. The presence of MARC coding does not guarantee a NISO display.

<Instructors: you may replace this slide with a vendor specific slide from the appendix on the Trainer's Resource page, or introduce the more specific slides at the end of this session.>

Behind the scene is its MFHD record

Type: y Enc l: 1 R/A stat: 4 Acq method: p Cancel: Gen ret: 8
Spec ret: Complete: 0 Copies: 001 Lend: u Repro: u Lang:
S/C copy: 0 Control:

004; ;a AAC-1885 $
852; 51 ;a FLUNT $b Main Library $c Periodicals $
853; 20;8 1 $a v. $b no. $u 6 $v r $i (year/year) $j (month) $w b $x 06 $
863; 41; 8 1.1 $a 3 $i 1999/2000 $
863; 41 ;8 1.2 $a 4 $b 1 $i 2000 $j 06 $

6

SCCTP Serial Holdings Workshop June 2002

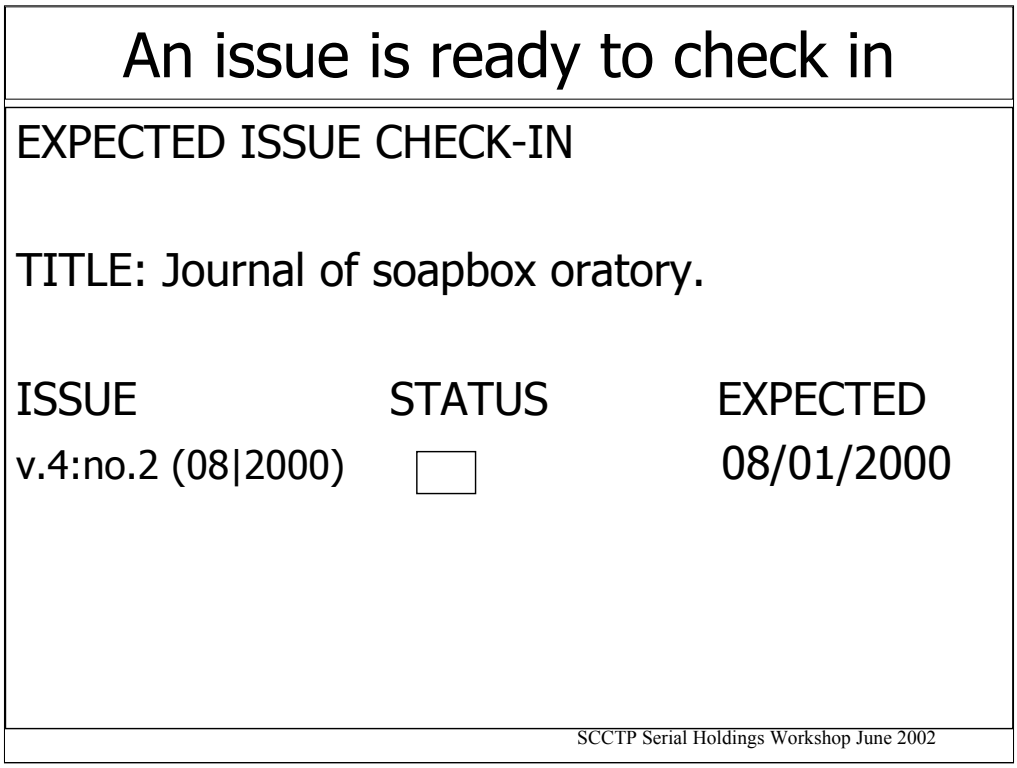
• This is a possible generic MARC Format for Holdings Record that is operating behind the scenes. In most systems, this displays only to local staff. (Unfortunately! With remote MFHD displays available, we would have ready-made help!)

•This display shows volume 3, which is now compressed to the volume level; and volume 4, number 1.

•This is a **tagged** display. Some systems use **labeled** displays (often called a graphic user interface, or GUI) so that the MARC field tags and coding are hidden from the person entering data, though the input data may be stored in MARC.

•It is important for you to know the relationship of what labels have been assigned to each MARC field tag so that you are able to input data correctly. Without this knowledge, also, you cannot evaluate your system and its prospects for developing further MFHD functionality.

<Instructors: you may replace this slide with a vendor specific slide from the appendix on the Trainer's Resource page, or introduce the more specific slides at the end of this session.>



•An example of a possible generic system serial check-in screen.

•When this issue is checked in as received the MARC holdings record has a new line created for this issue.

•Note again that the display is not necessarily in the same format as the underlying MARC.

<The next slide shows the line being created>

<Instructors: you may replace this slide with a vendor specific slide from the appendix on the Trainer's Resource page, or introduce the more specific slides at the end of this session.>

A line is added to the MFHD record

Type: y Enc l: 1 R/A stat: 4 Acq method: p Cancel: Gen ret: 8
Spec ret: Complete: 0 Copies: 001 Lend: u Repro: u Lang:
S/C copy: 0 Control:

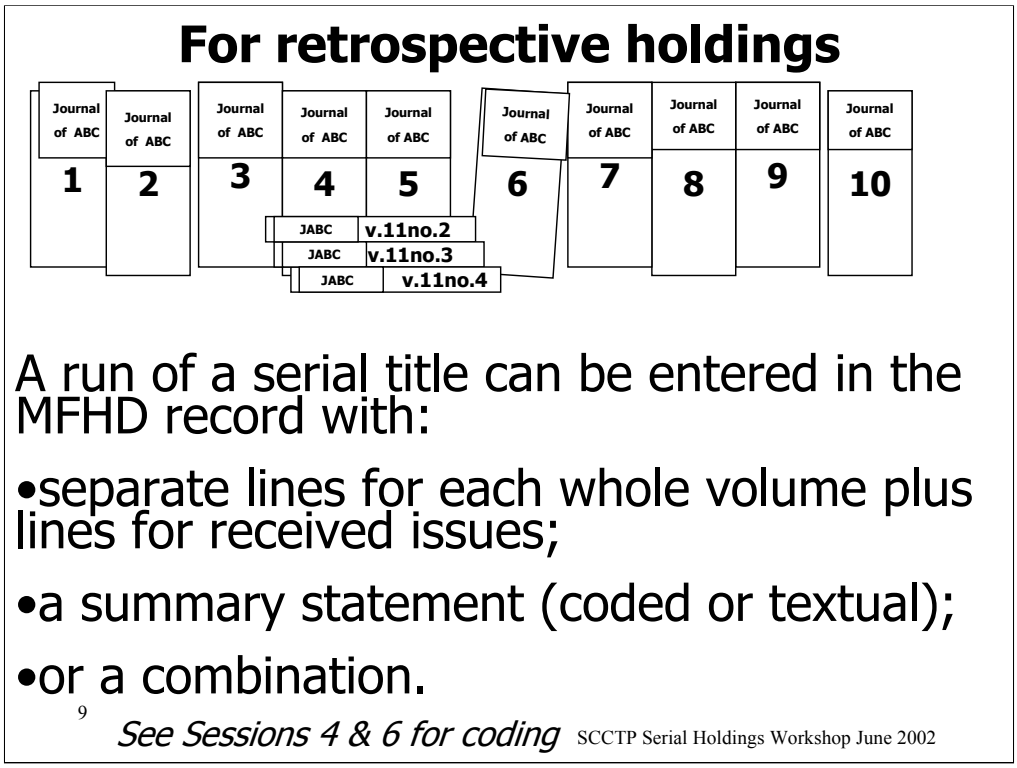
004; ;a AAC-1885 $
852; 51 ;a FLUNT $b Main Library $c Periodicals $
853; 20;8 1 $a v. $b no. $u 6 $v r $i (year/year) $j (month) $w b $x 06 $
863; 41; 8 1.1 $a 3 $i 1999/2000 $
863; 41 ;8 1.2 $a 4 $b 1 $i 2000 $j 06 $
863; 41 ;8 1.3 $a 4 $b 2 $i 2000 $j 08 $

8

SCCTP Serial Holdings Workshop June 2002

Volume 4, number 2 has now been added to the holdings record.

<Instructors: you may replace this slide with a vendor specific slide from the appendix on the Trainer's Resource page, or introduce the more specific slides at the end of this session.>



•Retrospective holdings

•An MFHD record may be also be created retrospectively as long as any of the title is held by the library. The holdings can be in itemized or summary form.

•Retrospective holdings may come from paper files, if serial holdings were not converted, or from non-MARC computerized files. Particularly in these cases, this summary may be plain text, called *textual holdings*. Many systems can convert non-MARC online holdings to textual holdings. With fuller information, *coded holdings* may be used.

•A summary holdings statement may also be used to record retrospective holdings for past volumes, while issues of currently received titles are itemized; or the summary can be left open; or it can be closed each time an issue arrives. (Some systems do one of these things automatically.)

•Holdings statements should conform to the NISO standard for recording library holdings, especially as regards level of specificity (next slide).

•Recording coded holdings is covered in session 4; textual holdings are in session 6.

Level of detail or specificity

- The level of detail, or specificity, of a holding, refers to the accuracy with which it describes a holding; is there a guarantee that the statement contains information about any gaps, down to the issue level?

- If you are missing v.4, no. 3:
  - **Level 3:** v.1-5(1990-1994)
  - **Level 4:** v.1-3(1990-1992)
    v.4:no.1-2 (1993:spring-summer)
    v.4:no.4(1993:winter)
    v.5(1994)

10

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Level of detail, or specificity (Levels 1 through 5)

(The five levels were discussed in the first session.)

•The concept on this screen and on the next screen are often confused, in particular because Level 3 holdings is often called the "summary level," and it is true that most holdings at this level are summarized. They break only when a whole volume is missing.

•Level 4 holdings are accurate to the issue level, and may be summarized or itemized. But a Level 4 summary must end whenever there is even one issue missing, and begins again after the gap. In the MFHD, volumes with gaps are "broken out) and given on separate lines.

<Trainees may ask whether volume 4 can be expressed as v.4:no.1-2,4(1993:spring-summer,winter), or as v.4:no.1-2,4(1993) in level 4. The gap is clearly shown, and though there has been no pronouncement on the legitimacy of this formatting, course authors would endorse it as permissible in a summary holding, whereas in an itemized holding you would presumably show the item as physically held or bound.>

•Level of detail or specificity governs the first indicator of a holdings field (863, 864, or 865), as you will see shortly.

•Format of holdings, described on the next screen, governs the second indicator.

Format of holdings

- The format of holdings refers to whether they are summarized (given in ranges of issues or volumes), or itemized (given as item-by-item issues, or volumes).
- This concept is different from *levels of detail or specificity.* It is concerned with the format of holdings, not their accuracy.
  - **Summarized:** v.1-5(1990-1994)
  - **Itemized:** v.1(1990)
    v.2(1991)
    v.3(1992)
    v.4(1993)
    v.5(1994)

11

SCCTP Serial Holdings Workshop June 2002

Format of holdings: summarized or itemized

• Summarized holdings means that a range of holdings is recorded in one line.

• Itemized holdings mean that a separate line is created for a separate issue, part, or piece of a title.

•The same holdings record can have a mix of summarized and itemized holdings. This is useful for entering retrospective holdings and currently received issues on the same record, as we showed a moment ago.

•A further complexity:

– A system may display itemized holdings as summary holdings in the OPAC through automated *compression*

OR

– A system may have the capability of taking summary holdings and displaying them at the issue level through automated *expansion*.

Vendor implementations of the standard

- **Full or partial implementation?**
- **What has my vendor *really* implemented?**
- **ASK!**
- **Ask specific questions, e.g., "Can you generate all parts of an 85X/86X field from receipt data?"**
- **Will data be correctly converted from my current system?**
- **Get good answers (and hard evidence) before you purchase!!**

12

SCCTP Serial Holdings Workshop June 2002

• Full implementations take full advantage of all the tagging and coding in the MARC holdings record to produce intelligible displays, reports, check-in, prediction of expected issues, updating, circulation, etc.

• Partial implementations may only use some of the MARC fields or coding. .

– For example, some systems cannot correctly predict on seasons instead of months; many others lack some of the defined patterns.

– **How do I know what my system implemented?**

Ask, Ask, Ask, Ask!

• Look at vendor documentation regarding functionality.

• Ask how the system utilizes the coding in the MARC record to display data, produce reports, or customize for a library-specific purpose. Make questions as specific as possible, not just "Do you follow the standard? but, e.g., "Can you generate all elements of the 85X and 86X fields from receipt data?

•If you currently use an automated system, ask if the new vendor is able to convert all of the existing data. Account for all possibilities. Test the conversion.

•Use the RFP process to specify your desired features before purchase of a system. Make sure that the offered functionality is truly there or that firm progress is being made. Require accountability.

Summary

The MFHD ……

- Can be used to record and display single issues, volumes, or ranges of volumes.
- Is used by staff to manage serial functions.
- May allow data to be entered in a tagged or a labeled (GUI) version of MARC, depending on the system. (Tagged displays permit greater accuracy and fuller understanding).
- Uses embedded patterns to predict expected issues.
- May allow itemized data to be compressed for display, or compressed data to be itemized for display.

Holdings Session 3 -Overview, Fields 001 through 852

- ***How do we structure a holdings record?***
- ***What is the link to the bibliographic record?***
- ***What do we use fixed field codes for?***
- ***What notes are useful?***
- ***How can this information be utilized by automated systems?***
- ***How do we display location and call number information?***

1

SCCTP Serial Holdings Workshop June 2002

Contents

References

The Instructor may want to review the section on control numbers in the MFHD Format in paper or the Concise Holdings Format on the Web, http://www.loc.gov/marc/holdings/echdcntr.html. 008, Fixed Length Data Elements, will be covered in detail, with mention of other control numbers, through 852.

Warm Up Exercises

If the Pre-Workshop Exercises have not been handled yet, this is a good place to discuss them. Afterward, if the instructor has not already done so, he/she might now refer trainees to Appendix 2, containing the Holdings Data Handbook. This will be a reference point and a guide in the exercises to come.

Structure of the MFHD

- Leader and Directory
- Variable Control Fields (001-008): codes aid retrieval; encode library policy, processing information, apply Z39.71
- Variable Data Fields (010-880): include control numbers, notes, and holdings data
  - 010-099: Numbers & Codes
  - 5XX: Notes
  - 8XX Holdings Data & Notes

2

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Overview of the MARC21 Format for Holdings Data

The structure of the MFHD record has roughly the same structure as that of the bibliographic record --

1. Leader, Directory --identify record

2. Variable Control Fields (001 through 008)

–further specify record and item

–identify library policies relating to item

–some values relate to Z39.71 standard.

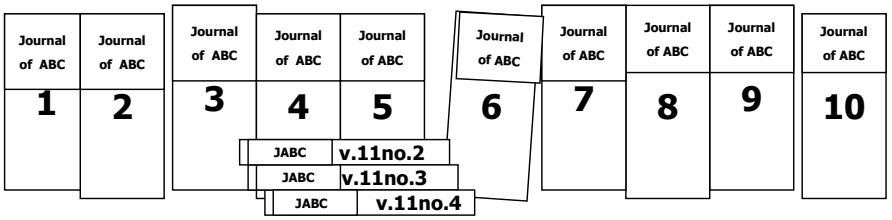
–they are useful for retrieval and data management

3. Variable data fields (010-880)

–describe item

–give location (for single part item); piece holdings (for multiparts and serials); access information (for remote resources)

–most important fields shown on the screen, referred to in rest of session



The Journal of ABC

3

SCCTP Serial Holdings Workshop June 2002

This slide was first shown in Session 2 (optional session).

It is the serial represented by the holdings record on the next slide.

Sample MFHD Record & Resulting Display

Journal of ABC.
Type: y Encod.L: 4 Rec./Acq.: 4 Acq.Meth.: p Int.toCanc:
GenRet: 8 Spec.Ret: Lang.: eng Sep/comp: 0 Copies: 1
Completeness: 1 Lend: b Repr: a
004 $a AA32059
007 $a ta
852 51 $b 30000 $c Reading Room
853 20 $8 2 $a v. $b no. $u 4 $v r $i (year) $j (month/month)
866 41 $8 1 $a v.1-10(1990-1999)
863 41 $8 2.1 $a 11 $b 1 $i 2000 $j 01/03 $z Reserve
863 41 $8 2.2 $a 11 $b 2 $i 2000 $j 04/06

Journal of ABC.
Location: GenLib Reading Room. Currently received. Shelved by title.
Holdings: v.1-10(1990-1999)
v.11:no.1(2000:Jan./Mar.) —Reserve
v.11:no.2(2000:Apr./Jun.)

Sample record

<Instructors may refer to this record at any point to show how coding fits together.>

Features of the record:

References journal pictured in last slide

Elements generating displays (in blue):

008:06 (Rec./Acquisitions status) --Currently received

008:22-24 (Language) --translates numeric codes into natural-language names of months

852 1st indicator --Shelved by title

852$b --Gen Lib (i.e., often a translation of a code)

852$c --Reading Room

866 (Textual Holdings Field) --v.1-10 (1990-1999)

853 plus first 863 --v.11:no.1(2000:Jan./Mar.) Reserve*

(*that special status could be coded specifically in an item field, which is not yet widespread in implemented system. **<Instructor: Items are included in Appendix 10>**

853 plus second 863 --v.11:no.2(2000:Apr./Jun.)

MFHD: fixed-length data (tagged display)*

Type:_ Encoding lvl:_ Acquis. status:_

Acquis. method:_ Lang:_ _ _ Compl:_

Gen ret:_ Spec ret:_ _ _ Sep/comp:_

Lend:_ Repro:_ Cancel:_ Copies:_

***Shows a hypothetical tagged screen--no specific system display intended!**

5

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The Holdings Fixed-Length Data Elements (a mixture of Leader & 008 Fields)

What the codes do:

Give information about the record and about the specific copy of the work whose holdings are being given.

Codes may be sorted into indexes so that the record may be retrieved by someone looking for certain bibliographic characteristics, e.g., receipt, retention, and lending parameters.

Codes may be used to compose local or national reports.

What you see:

The display onscreen is a *tagged display*. It is purely hypothetical., not reproduced from any system in existence.

Tagged displays are proprietary too! (One vendor's may not look like another's.)

Currently, vendors often use a *customized (usually GUI*) interface*.

Some features likely to be seen in new systems:

graphic representation of data elements as icons, onscreen "objects"

rearrangement of data to suit vendor purposes

drop-down menus of clickable choices

context-sensitive help

*graphic user interface, pronounced "gooey"

Holdings control fields

- *001 Control Number (System Maintained)*
- *003 Control# ID (System Maintained)*
- 004 Control Number of Related Bibliographic Record
- *005 Date/Time of Latest Transaction (System Maintained)*
- 007 Physical Description Fixed Field

6

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Holdings Control (00X) Fields

Many of these data elements are system-maintained.

No indicators or subfield codes.

Meaning determined by character position, so each character position must contain either a code or a fill character.

004

Used with separate (not embedded) holdings record.

The 004 usually serves as the record link. This link is *specified* for record exchange; however, in some systems, internal linking could be done on some other data element--e.g., LCCN, CODEN, ISSN.

If this is the link in your system, deleting or altering this field should be done only when re-linking is intended!

007

Codes copy-specific physical information that describes a format. This information may appear textually in the holdings note fields 841-843.

Ordinarily matches 007 in bibliographic record.

Together, 007 and associated notes can distinguish a separate version or format of a work (Multiple versions)

i.e., the bibliographic record may describe the original format, and be linked to multiple holdings records for different versions, distinguished by 007 coding and notes.

Other control numbers

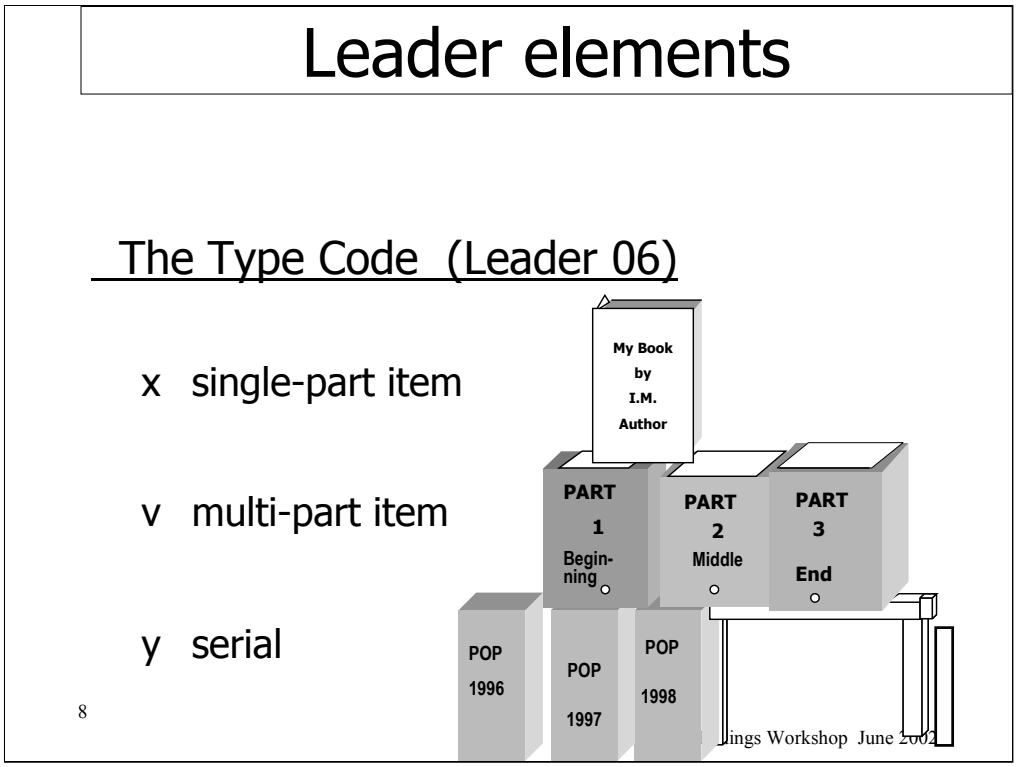
- **010 LCCN**
- **014 Linkage number (for other bibliographic agency)**
- **020, 022, 024 (standard control nos.)**
- **027 Standard technical report no.**
- **035 System control no.**

7

SCCTP Serial Holdings Workshop June 2002

Other control fields

On the screen are some further control numbers that can be used in holdings records.



Leader

Two leader elements are commonly managed by staff working with holdings:

Leader 06, the **Type of Record** code, is a one-character code that indicates the characteristics of and defines the components of the record.

The byte is often system-set from elements in the bibliographic record.

Leader elements

Encoding Level (Leader 17)

1	item, library
2	item, library, report date, optional policies
3	item, library, policies, summary holdings
4	item, library, policies, detailed holdings
5	item, library, policies, detailed holdings, and individual piece designations
m	mixed holdings
z	other holdings level

9

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Leader 17, the **Encoding level**

Encodes level of detail, or specificity, discussed earlier in connection with holdings display standards. Single-part items may have a system-set default level of 1.

<The instructor may want to refresh memory of the difficult distinction between Levels 3-4 (and 5 and m) for serials.>

The difference between 3 and 4 is the difference between a holding accurate to the volume level only, and a holding explicitly stating all gaps. It is the accuracy to the issue level, and not the itemized or summarized format, that distinguishes Level 4 from Level 3. Illustrate, if desired, on flipchart:

v.1 [incomplete] v.2 v.3 *--the first statement is encoding level 3*

v.4-10 *-- this field, if holdings known to be complete, can be coded 4.*

Level 5 adds a piece designation, or identifying number (a barcode or accession.number)

Level m shows that all of the holdings are not at the same level of specificity. May be used, for example, when retrospective holdings are added from a non-MARC source to a record for a currently received title.

008 elements

- **Receipt or acquisition status**: **008/06**

  1 Other (None of codes appropriate) 2 (ceased or complete), 3 (on order), 4 (currently received), 5 (cancelled or not now receiving)

- **Acquisition method**: **008/07**

  d, e, f, g, p, u, z **(mnemonic codes)**

A library could use the **Receipt or Acquisition status** code to generate automatic notes for currently received or cancelled titles, or to index for automated response to a Z39.50 query.

Several mnemonic codes exist to indicate the **Method of acquisition**.

The byte for Receipt or Acquisition Status (008:06) was redefined in 2000 to be compatible with the ISO international standard.

–If the serial ceases or changes title, the code is 2. ("Complete" here does not mean "held in full." It means "no longer published.")

–If the serial is still published, but cancelled locally, the code is 5.

008 elements

Intent to Cancel: 008/8-008/11

(4 character positions)

date of expected last issue, or of cancellation of the order

yymm [date of last expected part; if not known, date of cancellation]

uuuu [to be cancelled, date unknown]

[blank] [no intention to cancel or not applicable]

The **Intent to cancel date** provides the date of cancellation of an order, or the date of the last issue, or date of expected receipt of that issue.

General retention policy 008/12

0 Unknown
1 Other general retention policy
2 Ret. until updates received (e.g., looseleaf)
3 Sample issue retained
4 Retained until repl. by microform
5 Ret. until cumulation or replacement vol. rec'd (e.g., CD-ROM title)
6 Retained for a limited period
7 Not retained
8 Permanently retained

12

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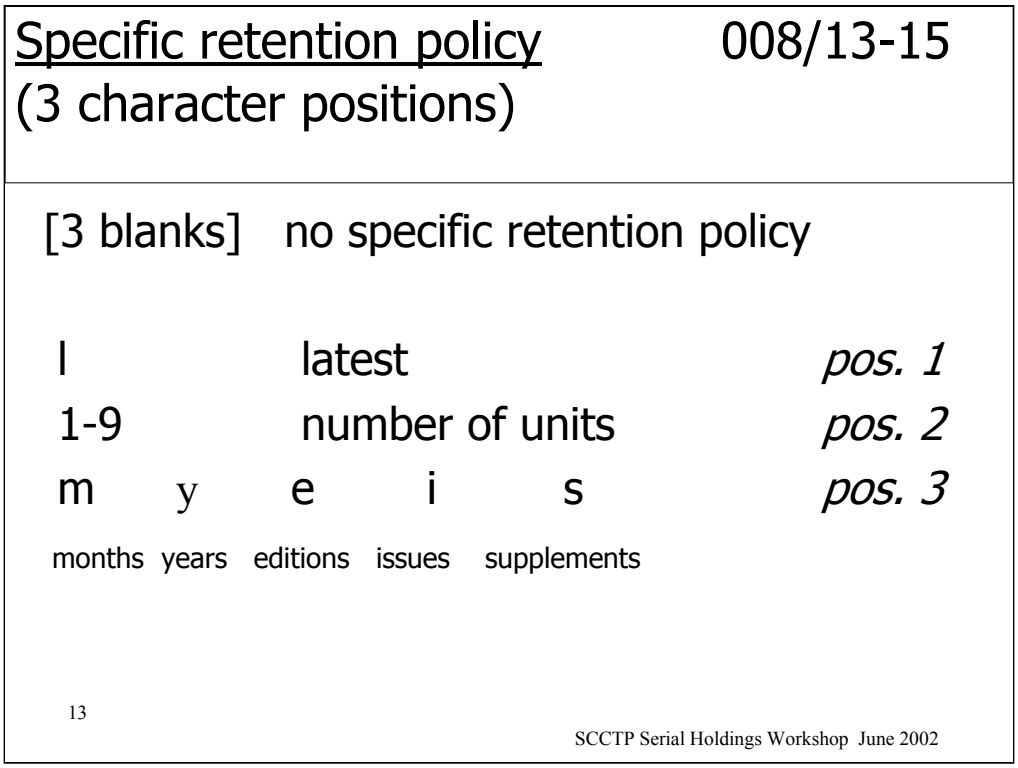
General and **Specific retention** codes show whether and for what period the serial is retained.

–Can generate notes.

–Permanent retention = 8.



A **Specific retention code** is used when General retention value is 6. Has three character positions--

»either **p** (previous) or **l** (latest)
»digits from **1 to 9**
»**i** (issue), **e** (edition), **y** (year), **m** (month), **s** (supplement)

If the number of units to be retained exceeds 9, use a public note $z in the 852 field (to be discussed later in this session).

Completeness: 008/16

An estimate of entire run or institutional holdings (all copies)

0	Other	[limited retention / no estimate of completeness]
1	Complete	[95% or more]
2	Incomplete	[50-94%]
3	Scattered holdings	[Scattered]
4	Not applicable	[Could be set by system for single-part items]

14

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Completeness is according to surveys not widely used.

–Could be used, e.g., to sort interlibrary loan queries or Z39.50 retrievals.

–Difficulties in coding:

»split runs or multiple copies

—perhaps best to use *only* institutional level in this code--<possible discussion point?>

»changing percentages as more of the title is acquired, or gaps occur

Number of copies reported (3 character positions)	008/17-19

001 one copy reported

002 two copies reported

etc.

how many copies are represented by the holdings record?

15

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Number of copies reported is another source of ambiguity.

The definition of "a copy" of a serial differs from library to library, since in large libraries, many single runs may be held partially in more than one location. A multiple copy code should probably be reserved for those items where a substantial part of a title is held in multiple copiesand the copies are on the same record.

Lending policy 008/20		Reproduction policy 008/21
a	Will lend	Will reproduce
b	Will not lend	Will not reproduce
c	Unknown	Unknown

16

SCCTP Serial Holdings Workshop June 2002

Here are some of the other values that can be coded in the 008 field.

All of these values could be useful for interlibrary loan and remote searching, particularly for sorting data.

Language: (008/22-008/24)

Can translate numeric chronology or ordinal numeration into the desired language for display

01=Jan. *or* equivalent in other languages
21=spring *or* equivalent in other languages

Example:
Lang=eng **1991:01/03 = 1991:Jan./Mar.**

Lang=fre **1991:01/03 = 1991:janv./mars**

17

SCCTP Serial Holdings Workshop June 2002

The **Language** code will usually be the same as in the bibliographic record--but must match language of captions.

–Function is to translate the *month* or *season* expressed in numeric form to the proper name according to the coded language , e.g., 01 translates to Jan., janv., enero, etc. (These patterns will be examined further in a later session.)

Separate or composite copy report 008/25

0 Separate copy report

each copy has a separate holdings record

1 Composite copy report

the holdings record is a consolidation of information about more than one copy

18

SCCTP Serial Holdings Workshop June 2002

A **composite copy report** is ordinarily an institution-wide report of holdings, perhaps to a union list.

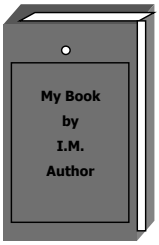
Most local reports are separate copy reports, but if a single holdings record reports multiple copies of the same serial title (or a substantial portion of it), the value 1 should be input.

Holdings fixed field for single-part item

Type = x

Encoding level = 1

Receipt or acquisition status = 2 (complete)



General retention policy = 8 (permanently retained)

Lend, Repr, Copies: according to library's policy and holdings

Most other codes not applied

19

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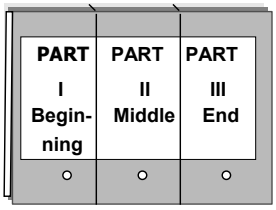
Fixed field for single-part item

We will examine briefly how these codes would apply to a single-part item, multipart item, and serial. The easiest way to compare the possibilities is to follow along in the *Handbook* (Appendix 2).

This is a single-part item, otherwise known as a monograph. (Type-=x). These would be typical codes for a monograph.

Holdings fixed field for multipart item

Type = v



Codes used: if not being checked in,

could use same codes as single-part item, plus **Completeness**

If being checked in**, Receipt or acquisition status, Acquisition method,** and **Intent to cancel date** become relevant

20

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Fixed field for multipart item

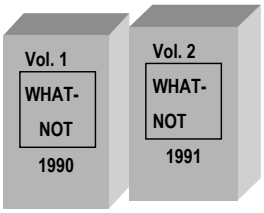
This is a monographic set (type = v).

This record could use many of the fixed field codes.

A set would probably be treated like a single-part item, with minimal coding (perhaps just the codes mentioned in the previous slide plus the Completeness code) if it were acquired complete.

If a check-in record is set up for a finite, but ongoing, monographic multipart item, many of the serial codes become relevant, including Receipt or acquisition status, Acquisition method, and Cancel.

Holdings fixed field for serials



- **Type:** y
- **Encoding level**: accuracy, detail of report
- **Receipt or acquisition status**:

  2 (complete), 3 (on order), 4 (currently received),
  5 (cancelled or not receiving)
- **Acquisition method**: mnemonic codes

21

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Fixed field for serials

The complete range of codes can be used for a serial. The type is y.

•According to the specificity and detail of the holdings report, the library would code its **Encoding level** as 1-4, or m for mixed levels.

•The **Receipt or Acquisition status** code tells whether a serial is currently received, ceased, cancelled, or on order / not yet received..

•The **Method of acquisition code** tells how the serial is acquired..

Notes (copy or title level)

(Note tags begin with 5 or 8. Other local notes can be placed in subfields of location field (copy level) or piece holdings field (piece level)

541 Immediate source of acquisition

561 Ownership and custodial history

583 **Action note**

[Used to report processing, reference, and preservation actions in regard to material; 19 possible subfields]

22

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Holdings record notes

•Note tags in a holdings record begin with either a 5 or an 8.

•Tagged note *fields* have specific purposes.

– other local notes at the copy level may be placed in note *subfields* of the location field (852)

– notes at the piece level can go into the piece holdings fields (863-865) or textual holdings fields.

<**Optionally**, the instructor may mention that some bibliographic fields have equivalents in the holdings format with the same or different tags; 541; 561; 533/843 (Reproduction Note); 540/845 (Terms Governing Use and Reproduction)>.

Some important note fields here and on the next screen:

–583 Action note -- to record preservation, processing, and reference actions concerning an item.

» Many possible subfields (19 in all)

» Examples of actions: correspondence about material, repair, transfer, microfilming, boxing or binding, disposal.

Notes (copy/title level) cont'd

842 Textual physical form designator

textual form of 007

843 Reproduction note

like 533; used when bib. record describes original

844 Name of unit

title of unit--place within quotes, e.g., "Cases"

845 Terms governing use & reproduction note

like 540; special copying, etc., restrictions

23

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•842-845

Eye-visible information relating to codes for physical description. (007 and 008)

856--Electronic location and access

- Used as a hotlink to many resources.
- It is repeatable in both the bibliographic and holdings format when there are multiple access methods.
- Though it often appears elsewhere, 856 is fundamentally holdings data!
- By collocating electronic description and access, holdings placement of 856 would
  - reduce confusion among formats in records
  - facilitate easy modification of dynamic information
  - aid use of "single-record option" in electronic resource cataloging.

24

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Location and Access Fields

Electronic (856)

•Contains access information for locating electronic resources

•most often today directly as hotlink; repeatable for multiple means of access to equivalent information

•many systems (and utilities) have chosen the bibliographic record for placement

•primary relationship of this field is to holdings, hence terms "location" and "access"

•Placing 856 in the holdings record would help to

- increase clarity by reducing confusion among descriptive data
- facilitate record editing when access information changes
- aid use of the single record option for electronic resource cataloging.

Holdings location field (852)

indicators

852 _↑_ $a [NUC code of organization, usually not displayed] $b [Code for sublocation or collection] $c shelving location $h Call no. (classification part) $i Call. no. (item part) $j--m [Call no. prefixes, suffixes, etc.] $z Public note $x Non-public note

Chief data elements

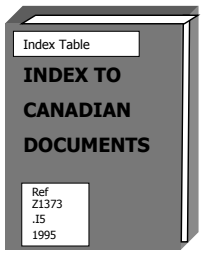
---

852 0 1 $b 132000 $c Index Table $h Z1373 $i .I5 $k Ref $z See Intl.Docs.Div. for documents [+piece holdings in 853/863]

Example

Index to Canadian documents.
Location: Main Reference Room, Index Table
Call no: Ref Z1373 .I5
Note: See Intl.Docs.Div. for documents
[+piece holdings]

Possible display



25

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Location and Access cont'd.

Non-electronic (852)

•For a single-part item such as a monograph, the 852 field will be the only holdings field.

• For serials at level 3 or 4, the 852 carries only location and call number (and sometimes notes), while information on the holdings of the various parts is given in specific piece holdings fields.

•$a is NUC code for the location, or the name of the holding library, etc: often this is a non-displaying, system supplied default

•$b and $c further specify where an item is shelved.

–$h and $i give the classification and work numbers and letters of the call number.

–$k through m give the prefixes, suffixes, and shelving numbers and titles of the item.

–$x and $z are for notes composed by the library. They communicate information to staff or to the public about the resource at the copy level, or, if the report is a composite report, about all copies.

852 field indicators

Indicators:

1 - **Shelving scheme**. Values 0 (LC), 1 (DDC), 2 (NLM), 3 (Supt of Docs), 5 (By title), 6 (Classed separately)

2 - **Shelving order**.
ordinarily 1 (by primary enumeration)
0 classed separately
2 shelved by secondary enumeration

26

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Indicators of the 852 field

Specify the classification and shelving of a title.

–First – what classification system is being used, if any

–Second – whether the series is shelved by its own volume number or by a secondary scheme

» for example, that of a broader series whose numbering scheme is also present.

Session 3- Summary

- *Codes in fixed and control fields are used to aid in local or remote retrieval, and also help in some management tasks. Some also relate to Z39.71.*
- *Many codes can be used to generate notes.*
- *The Type code (Leader 06) is coded for either single-part, multi-part, or serial item.*
- *Notes can be at the piece level or the copy level, determined by their placement and tagging.*
- *The 852 field is the first holdings field proper. For a serial, it carries the location and call number, if any. It may also carry notes (public and non-public).*

27

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Example 1

JKL bibliography.

Type: y EncL: 2 AqSt: 4 AcqM: p Canc: GenR:6
SpcR:l2y Comp:0 Cops:001 Lang:eng Lend: b Repr: a
Sep/Comp:0
852 01 $b 45678 $kRef $h Z7401 $i .J54 $z Request at desk $x Superseded eds. to Storage

Might display to public as:

JKL bibliography.

Loc: Science Library Ref Call no.: Z7401 .J54 Notes: Currently received. Latest 2 years retained. Request at desk

28

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Example 1.

Here is how an example of a limited-retention serial (General Retention=6) might display to the public. Some notes come from codes, others are explicitly input.

The first indicator of the 852 field is for the classification scheme. The second indicator shows whether it is shelved by primary or secondary enumeration or some other shelving order.

<The instructor may point out the general structure of the example, particularly 852 location, call number and prefix. However, some of this may also be discussed in relation to the exercise at the end of the session which is based on the two examples here and on the next screen.>

Example 2

Review of XYZ.

Type: y EncL: 4 AqSt: 5 AcqM: g Canc: 000901
GenR:4 SpcR: Comp:0 Cops:001 Lang:eng Lend: b
Repr: b Sep/Comp:0

852 51 $b 45000 $c Periodicals Shelves $l XYZ review $x Do not order if no longer received as gift

Might display to public as:

Review of XYZ.

Main Library Periodicals Shelves. Shelved by title. Shelving title: XYZ review. Library order cancelled: 09/01/00. *Note:* Retained until replaced by microform.

29

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Example 2.

This serial, which had been received in print as a gift, has now been cancelled, and the library system vendor has provided a public display of that information.

Exercises

Example 1. In the record for JKL bibliography,

1. Where do the following notes come from?

   a. Currently received b. Last two years retained *(Note: b. involves 2 codes)*

2. Identify each subfield in the 852. Why is the last subfield not displayed on the public screen?

Example 2. In the record for Review of XYZ,

3. Where do the following notes come from?

   a. Shelved by title b. Retained until replaced by microform

4. If we now need to classify this title in Dewey, a.what data must we change? b. Where must we add subfields, and what will they be?

Answers to Exercises

1a. Receipt/acquisition status code

1b. General and special retention codes

2. $b=location; $k=call no. prefix; $h call number, classification part; $i work no. $z public note $x non-public note (reason)

3a. 852, 1st indicator.

3b. General retention code.

4a. 852, 1st indicator, from 5 to 1; remove 852 $l.

4b. 852 $h and $i will follow 852 $c.

31

SCCTP Serial Holdings Workshop June 2002

Answers to Exercises

Exercise 1. In the record for JKL bibliography,

1. Where do the following notes come from?
   a. Currently received b. Last two years retained
   (Note: b. involves 2 codes)

2. Identify each subfield in the 852. Why is the last subfield not displayed on the public screen?

Exercise 2. In the record for Review of XYZ,

3. Where do the following notes come from?
   a. Shelved by title b. Retained until replaced by microform

4. If we now need to classify this title in Dewey, a.what data must we change? b. Where must we add subfields, and what will they be?

Holdings Session 4
Recording Holdings

- *What fields are used for recording issue, volume, and summary holdings data?*
- *How are they kept in order?*
- *What different display needs can be accommodated?*
- *How are gaps in holdings, and changes in serial numbering, handled?*

1

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Holdings Session 4 -- Recording Holdings

Contents

Warm Up Exercises

Discuss with the audience: What are the different places that serials holdings are on view? What is the viewer usually seeking in each case? How well is the user satisfied?

How holdings are recorded

In the MFHD, holdings are recorded in two different fields that are *paired*

- Fields 853, 854, 855 include the captions and publication pattern*
- Fields 863, 864, 865 include the actual enumeration and chronology of an issue, volume, etc.

* *Publication patterns will be covered in Session 5. Patterns are omitted from Session 4 examples.*

2

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The **paired field** concept is the heart of the Format. It allows great flexibility, with savings in staff time. On the other hand, it multiplies the pieces of data that have to work together for full functionality.

Bibliographic units and fields

Different fields are used for:

- Basic units (853/863)
  - The basic work (e.g., the journal, directory, etc.)
- Supplements to the basic units (854/864)
  - Supplements to the basic unit that are not cataloged separately
- Indexes to the basic units (855/865).
  - But not serials with the title "index" that constitute a basic unit (e.g., Index Medicus)

3 SCCTP Serial Holdings Workshop June 2002

A MARC holdings record may accommodate 3 types of publications associated with a title.

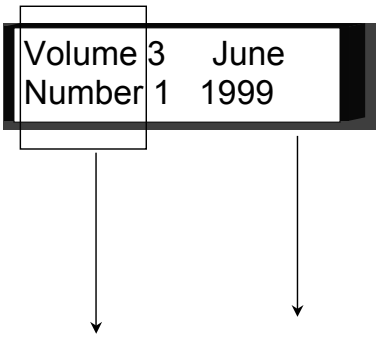
A ***basic*** *unit* is the title's base publication.

Supplement and ***index*** *units* are used for supplementary materials and indexes included in the catalog record for a base publication; that is, no separate cataloging record exists for the supplement or index.

The fact that a title may contain the word "index"-- or is an index-- does not mean that it would be coded in 855 and 865. The base monthly issues for the title "Index of New Medical Literature" would be coded in 853 and 863, while an index to a volume of volumes of the title would be coded in 855 and 865.

Definitions: caption data (85X)

Enumeration caption: the word, phrase, or abbreviation used by the publisher to designate each level of the parts issued. Ex. Vol., no., Bd., etc.



Chronology caption: the name of a division of the year. Understood, but not displayed!

853 20 $8 1 $a v. $b no. $i(year)$j(month)

4

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The captions for enumeration are explicitly given while those for chronology are given in parentheses so as not to display. This is because we say "volume" 1, and "number" 1, but not "year" 1999!

The captions entered in the 85X field are used by systems for display of holdings. Each time a new issue is received or expected only the numbering is entered, as the caption in the 85X field automatically is used for display.

Caption abbreviations

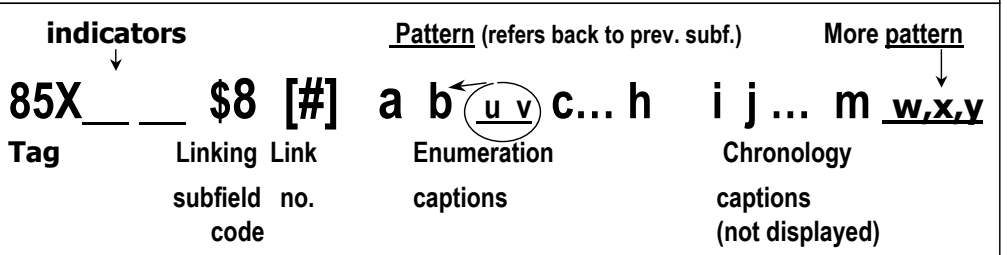
- Captions are abbreviated using AACR2R, Appendix B or ISO 832. Inclusive list at

  http://128.253.121.110/CONSERHOLD/Captabbr.htm

Example: On issue: Volume 1, number 2
Abbreviated as: v. no.

A caption is a *w*ord, phrase, or abbreviation indicating the *bibliographic unit* into which a serial or multi-part item has been divided by the publisher. Captions are abbreviated using Appendix B of AACR2R or the ISO standard. The CONSER Publication Patterns and Holdings Project has an expanded list of captions available. If a caption is not found in the appendix it is used in full.

85X field structure



$8 = Field link
$a-h = Enumeration captions such as v. no.
$i-m = Chronology captions such as (year) (season)
$o, $t = Other captions (not shown)
$u - $y = Publication Patterns (Session 5)

Fields 853-855 consist of the following subfields:

- appropriate tag
- indicator values (which will be discussed at the end of this session)
- $**8** and a linking number

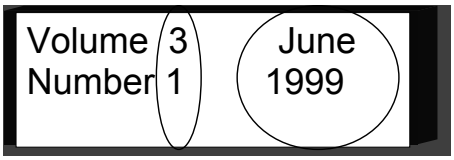
- Enumeration subfields
  - –six levels, **$a** through **$f**, alternative numbering in $**g** and $**h**
- Chronology subfields
  - –chronology subfields **$i** through $**k**, alternative chronology in **$m**

•In some cases, other descriptive words for types of supplements and indexes ($**o)**

• the publication pattern for the serial (see Session 5). Note that some of the subfields **($u, $v**) follow the part of the enumeration/chronology to which they apply, while others are added at the end of the field.

Definitions (86X): enumeration and chronology data

- *Enumeration:* "Designation reflecting the alphabetic or numeric scheme … to identify the individual bibliographic unit or physical parts ...



The *data* may be considered apart from the *captions*...

- *Chronology:* "The date(s) … used by the publisher to help identify it or indicate when it was issued. ...may reflect the date of coverage, publication, copyright, or printing."

7

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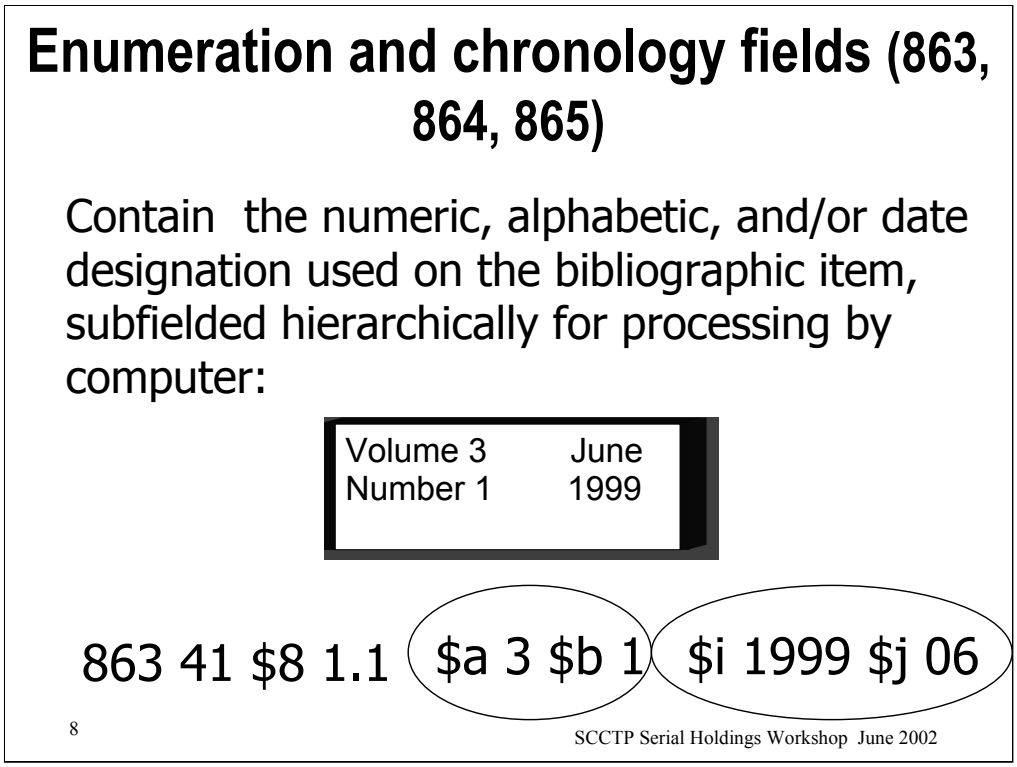
<Animated slide. Definitions appear in succession>

Definitions of enumeration and chronology.

We previously defined enumeration and chronology **captions.** Here the definition is for the data that goes with them, the actual enumeration and chronology data found on the piece alongside the caption data. This data is input into a field paired with the caption field, tagged 86X.



Composition of 86X

<Animated slide>

A sample 863 field for Volume 3, Number 1 of the Journal of Soapbox Oratory is shown.

Each part of the numbering and date hierarchy is a separate data element within the holdings field.

It is matched with the corresponding 853 element and combined for display.

86X field structure

Indicators *Subfields*

86X _ _ 8 1.1 a b c ... h i j k ... m

Tag	**Linking subfield code**	**Link no.**	**Seq-uence no.**	**Enumeration data**	**Chronology data**

$8 _._	=	Field link and sequencing
$a-h	=	Enumeration data
$i-m	=	Chronology data
$o, $t	=	Other captions (not shown)

9

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86X fields include:

• Appropriate tag

• Indicator values

• Link and sequence number in subfield 8 (853 has link number; 863 adds a sequence number)

•Enumeration subfields

–six levels, **a** through **f**, alternative numbering in **g** and **h**

•Chronology subfields

–chronology subfields **i** through **k**, alternative chronology in **m**

• Specific title information for supplements and indexes, in some cases.

•Copy numbers, if used.

Linkage and sequencing

How paired fields are connected:

$8

We are going to skip over the indicator values for now and come back to them at the end of this session.

We'll now examine how the pairing of 85X and 86X fields is accomplished by using subfield $8.

Linking with subfield 8

853 $8 1 $a v. $b pt. [*Caption field*]

linking number

863 $8 1.1 $a 1 $b 1 [*Enumeration field 1*]

863 $8 1.2 $a 1 $b 2 [*Enumeration field 2*]

sequence number

NISO display: **v.1:pt.1**

v.1:pt.2

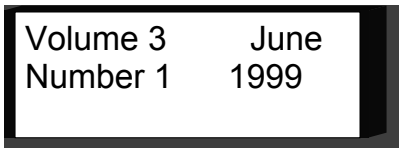
•The 853 contains subfield 8 as the first subfield with the linking number of 1.

•The 863 fields also contain a sequence number after the linking number. This number determines the logical order that the field should display to end users. In the example, if the sequence numbers were reversed, the display would appear as:

•v.1:pt.2

v.1:pt.1

Putting 853 and 863 together...



853 20 $8 1 $a v. $b no. $i (year) $j (month)

863 41 $8 1.1 $a 3 $b 1 $i 1999 $j 06

NISO display: **v.3:no.1(1999:June)**

12

SCCTP Serial Holdings Workshop June 2002

Putting the 863 together with 853

<Animated slide>

•Here is how the caption field and the enumeration/chronology fields look when they are paired.

<Click to animate 85X and 86X fields in turn>

•Enter captions (and publication pattern) of the item in the 85X fields. Note the linking number which we will discuss later.

•Enter corresponding enumeration and chronology in the 86X fields.

<Click to animate NISO display>

•When the group is displayed, the captions from the 85X field will be displayed with the information from the 86X field.

•Notice the use of parentheses to suppress chronological captions from display. Their function is not to place the chronological data within parentheses, although that is also done!

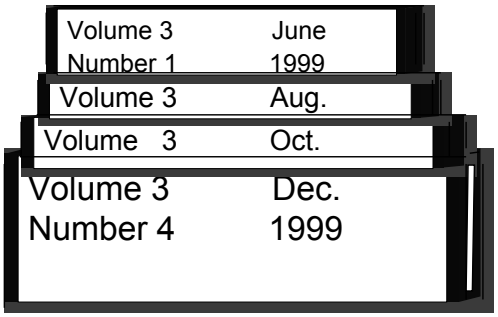
One to many...

853 20 $8 1 $a v. $b no. $i (year) $j (month)

863 41 $8 1.1 $a 3 $b 1 $i 1999 $j 06
863 41 $8 1.2 $a 3 $b 2 $i 1999 $j 08
863 41 $8 1.3 $a 3 $b 3 $i 1999 $j 10
863 41 $8 1.4 $a 3 $b 4 $i 1999 $j 12

Possible display:

v.3:no.1(1999:June)
v.3:no.2(1999:Aug.)
v.3:no.3(1999:Oct.)
v.3:no.4(1999:Dec.)



13

SCCTP Serial Holdings Workshop June 2002

Multiple 86X

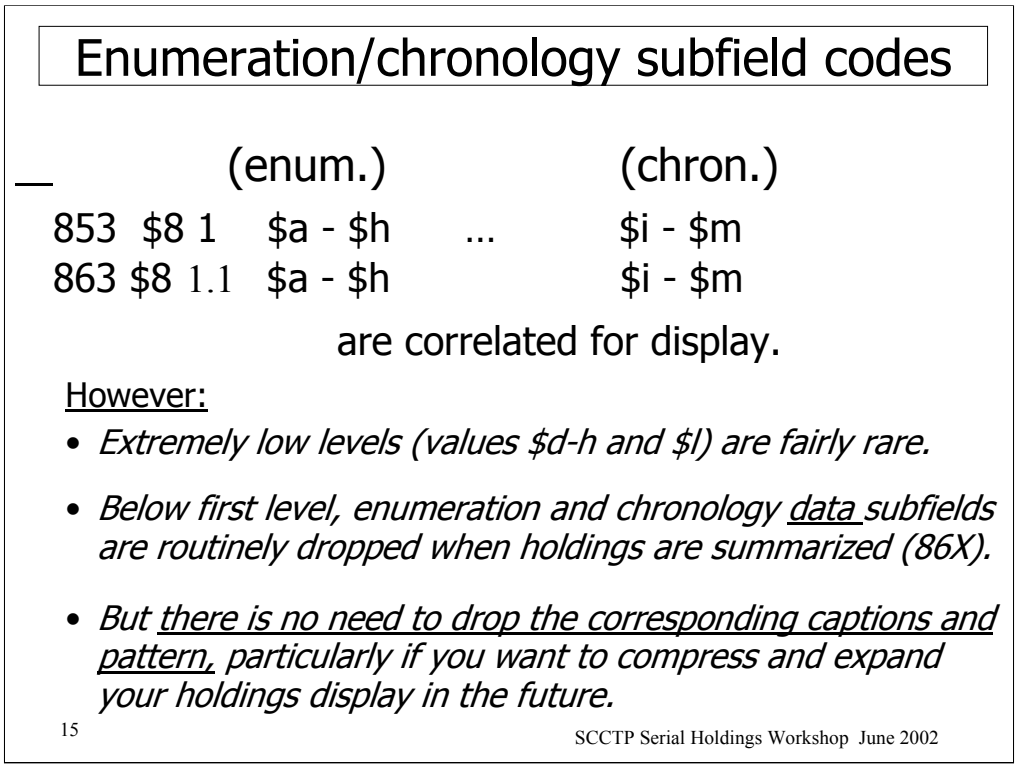
<Animated slide>

•Multiple 86X fields may pair a single 85X field. Once the captions and pattern have been recorded, this field is not repeated for each issue.

•When this group is displayed, the captions from the 85X field is displayed along with the information from each of the 86X fields.

• Note that here the second level of chronology (month) is expressed as a number. Control systems use this number to predict receipt, but both its input and its display may be in natural language if the system permits, with translation governed by the Language code in the MFHD fixed field.

Recording captions and enumeration/chronology



Correlation of captions and enumeration/chronology

a. Hierarchy

•This slide shows overall correlation of subfields of 853 and 863.

•Values below the third level, including the alternative enumeration and chronology subfields, will be seldom used.

•Not every subfield needs to be present in a holdings statement. In particular, when summarizing holdings, it is routine to drop internal 86X subfields.

•Correlation between 85X and 86X fields is not strictly necessary if not needed for display or compression/expansion, BUT...

•there is also no reason to drop the lower 85X captions and pattern when you compress and drop the corresponding 86X data. Retaining it keeps your options open for computer manipulation of your data (e.g., compression, expansion, linking).

Subfield codes ($a-$m)
Example 1

On issue: June 15, 1998 volume 13 number 4 part 5

Coded as:

853 __ $8 1 $a v. $b no. $c pt. $i (year) $j (month) $k (day)

863 __ $8 1.1 $a 13 $b 4 $c 5 $i 1998 $j 06 $k 15

- *3 levels of enumeration coded in subfields a,b,c; corresponding levels of chronology coded in subfields i, j and k.*
- *Parentheses () suppress the display of chronological captions.*

Possible display (NISO):

v.13:no.4:pt.5(1998:June 15)

16

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This an example of coding captions and chronology in the 853 and 863 fields. This same coding would apply to the 854/864 (supplementary material) fields.

In this case there are three levels of enumeration and three levels of chronology. This is not always the case, nor do these levels have to correlate.

Subfield codes ($a-$m)
Example 2

On issue: 1998 no. 1

Coded as: 853 __ $8 1 $a (year) $b no.

863 __ $8 1.1 $a 1998 $b 1

- Year serves as the highest level of enumeration and is coded in enumeration subfield a.

NISO display*:*

1998:no.1

This is an example of a serial where the year serves as the highest level of enumeration -- in other words, it substitutes for the volume. Numbering is repeated within each year. Thus, both are given as enumeration.

Subfield codes ($a-$m)
Example 3

On issue: May 1998 volume 13 number 14 (no. 2911)

Coded as:

853 __ $8 1 $a v. $b no. $g no. $i (year) $j (month)

863 __ $8 1.1 $a 13 $b 14 $g 2911 $i 1998 $j 05

- *2 levels of enumeration coded in subfields a, and b*
- *2 levels of chronology coded in subfields i and j*
- *Alternative numbering for specific piece in subfield* g

NISO display:

v.13:no.14(1998:May)=no.2911

Occasionally, a title may employ an alternate numbering scheme to identify its issues. One set of numbering may identify the issue in a hierarchical manner. The other number may identify the number for this issue as the next continuous number for all issues published. The example shows both sets of numbering. A system may have trouble either in interpreting or displaying alternate numbering schemes.

This example may display as:

v.13:no.14(1998:May)=no.2911

Subfield codes ($a-$m)
Example 4

On issue: New series B number 12

Coded as: 853 __ $8 1 $a new ser.B:no.

863 __ $8 1.1 $a 12

- The designation for a series is considered part of the caption.
- There is only one level of enumeration and one caption in this example.

NISO display:

new ser.B:no.12

This example illustrates the use of series designation and numbering. In the example, each issue for the title is individually numbered as the "new series B." The numbers increment continuously. The publisher has not determined that after a certain number of issues a New series C will be created. As issues are received and checked-in, the numbers increment. If the publisher should decide to create a New series C, a new 853 with a new linking number would be created.

Other subfields

t - Copy caption (*optional in some systems*).

Corresponding copy number in 86X $t (not shown)

Example:

853 __ $8 1 $a v. $b no. $u 12 $v c $i (year)
$j (month) $w m $x 06 $t c.

o - Type/title of supplementary material or index [854/855/864/865]

Corresponding suppl./index title in 86X$o if present (not shown)

Example:

854 00 $8 1 $a (year) $o Buyer's guide $t c.

- Always immediately follows the caption to which it refers.

20 SCCTP Serial Holdings Workshop June 2002

t - Copy caption

Your system or your institution may require that everything be identified by a copy number. In fields 854 or 855, subfield t contains the caption for a copy number such as c. In fields 864 or 865, subfield t contains the actual number of the copy.

o - Type of supplementary material or index

In fields 854 and 855, subfield o indicates in free text the type of supplement or index that is held. In fields 864 and 865, subfield o indicates the title of the supplementary material or index.

Note that there is no standard that prescribes the use of capitalization, punctuation, etc. for text in this subfield.

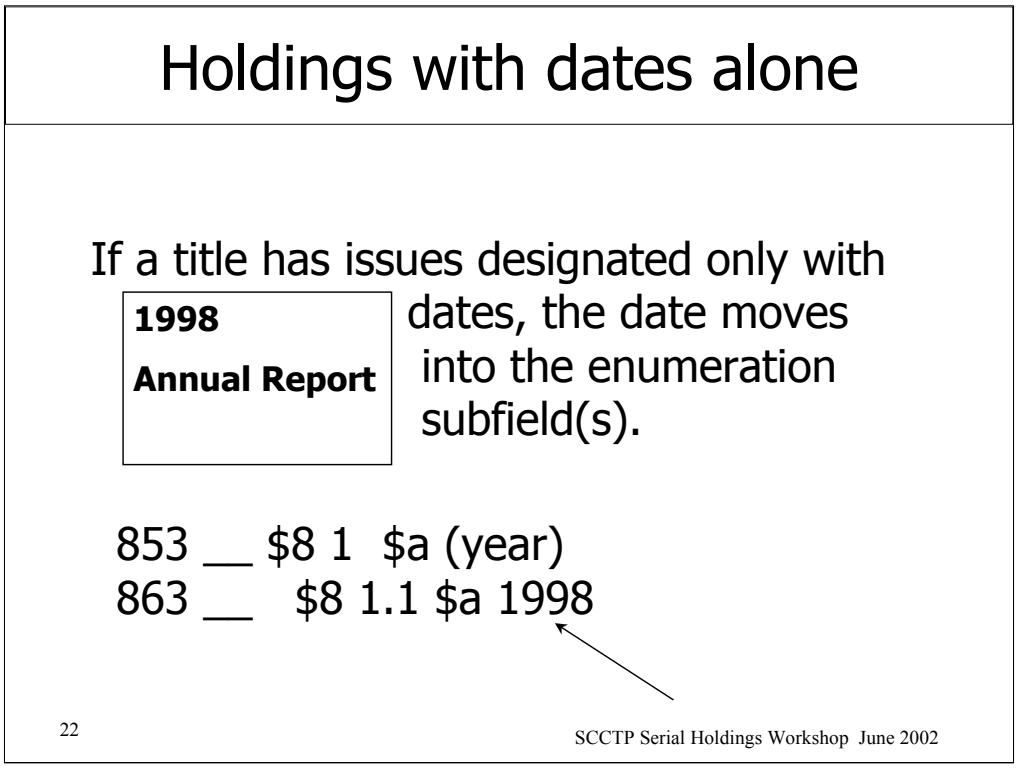
A system may display this free text in your OPAC.

Systems may display this as: 1996 (Buyer's guide) or

SUPPLEMENTS: Buyer's guide:

1996

Special problems:
Dates as enumeration, gaps, changes in captions
(Further complexities: Session 7)



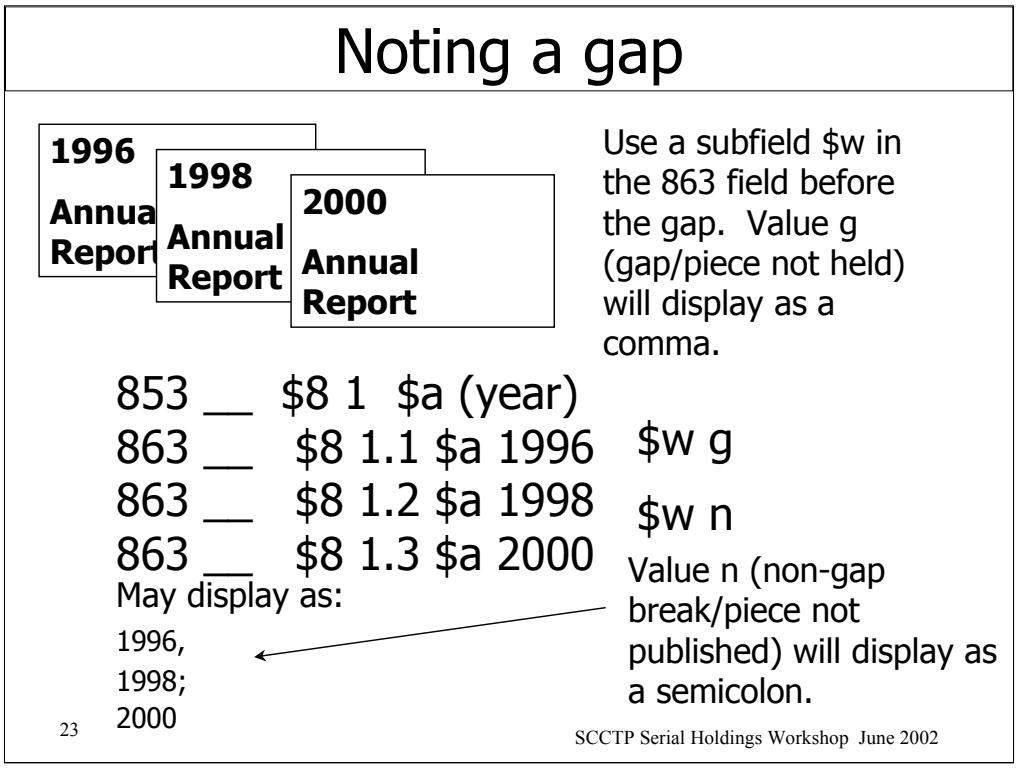
<Animated slide>

Dates as enumeration

•When there is no enumeration, the chronology moves into the enumeration subfields.

•As in chronology, captions are suppressed from display by placing them within parentheses.

•Some more unusual types of holdings with dates are covered in Session 7 on complex holdings.



<Animated slide>

Gaps

•Gaps are noted with the use of a subfield $w in the 863-865 field.

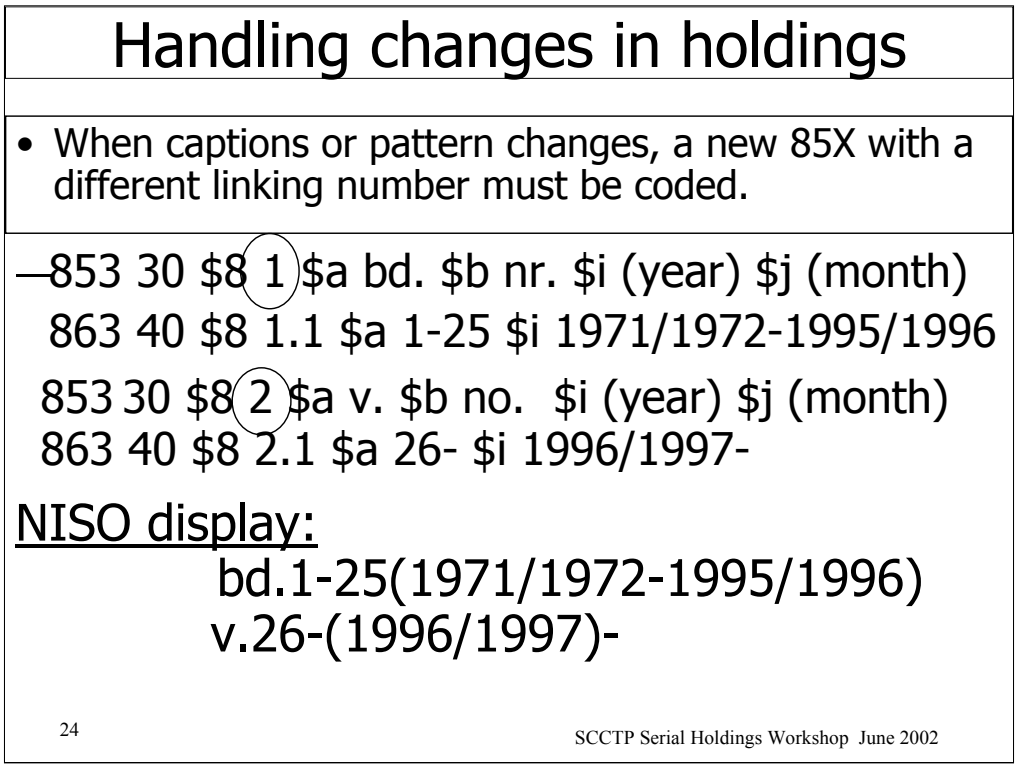
•If the missing material was published and is simply not held, the value input is g. The subfield is placed on the line preceding the gap. You don't need to enter anything for the gap itself.

•If the missing material was not published, the value input is n.

•The NISO displays for each of these values are:

–a gap displays as a comma,

–a non-gap break as a semicolon.



<Animated slide>

Handling changes in captions and patterns

When either the ***captions*** **(**name of bibliographic unit) or the *pattern* ***(***numbering scheme, frequency and other codes indicating issuance) change**:**

•Input a new 85X field with a later linking number, and start a new sequence of 86Xs with that linking number, followed by a sequence number. Onscreen, there is an example of a changed caption from Swedish to English. The new 853 with English captions has linking number 2 in subfield 8. The 863 holdings are compressed so have dropped the lower data (months).

• Some systems allow restarting with sequence number 1; others require simply continuing to increment the sequence numbers regardless of the link. Either method should not be a problem, but migration of the data might be! This is a format harmonization issue.

•Systems ordinarily do not require that the very next number be used; gaps can ordinarily be left between numbers so that material may be fitted in.

•But look for a system that allows sequence numbers to be easily reordered!

Exercise

1. You have a subscription to the Journal of Soapbox Oratory. You have received: v. 3, no. 1 (June 1999), v. 3, no.2 (August 1999), v. 3, no.3 (October 1999); v. 3, no. 5 (February 2000) and v. 3, no. 6 (April 2000). No issue was published for v. 3, no. 4. Using the Handbook, give the captions, enumeration, and chronology for the first 5 issues of receipt, corresponding to the 853 enumeration and chronology captions. Don't worry about indicators (that will come later).

853 _ _ $8 1 $a $b $i $j
863 _ _
863 _ _
863 _ _
863 _ _
863 _ _

SCCTP Serial Holdings Workshop June 2002

Exercise

Answer sheet

1. You have a subscription to the Journal of Soapbox Oratory starting with Volume 3, no. 1 (June 1999). Using the Handbook, give the enumeration and chronology for the first five issues of receipt, corresponding to the 853 enumeration and chronology captions.

853 _ _ $8 1 $a v. $b no. $i (year)$j (month)
863 _ _ $8 1.1 $a 3 $b 1 $i 1999 $j 06
863 _ _ $8 1.2 $a 3 $b 2 $i 1999 $j 08
863 _ _ $8 1.3 $a 3 $b 3 $i 1999 $j 10 $w n
863 _ _ $8 1.4 $a 3 $b 5 $i 2000 $j 02
863 _ _ $8 1.5 $a 3 $b 6 $i 2000 $j 04

Indicators for 85X and 86X

85X	
1st indicator = [853,	Compressibility and expandability 854 only] -- whether data *can* be compressed or expanded
2nd indicator =	Caption evaluation -- did you look at the piece?
86X	
1st indicator =	Level of specificity -- detailed, summary, etc.
2nd indicator =	Form of holdings (compressed or uncompressed) -- is it one, or more than one, *physical* piece (or volume)?

27

SCCTP Serial Holdings Workshop June 2002

Indicator values for 85X and 86X fields

The 85X 1st indicator is based on the presence of a publication pattern which allows for compression or expansion of the data given in the corresponding 86X fields.

The 85X 2nd indicator shows whether actual pieces were examined and the captions are exactly as they appeared on the pieces.

The 86X 1st indicator shows the levels of the data as we discussed earlier.

The 86X 2nd indicator shows whether the holdings are already compressed and whether they are used for display.

Compression/E-x-p-a-n-s-i-o-n
85X 1st ind. / 86X 2nd ind.

Compress: To display a range of holdings in terms of the enumeration and/or chronology of only the first and last parts held

v.1-13

Automated compression of holdings in more than one level is only possible by means of the publication pattern, acted upon by a computer algorithm.

Expand: To do the opposite!

- *v.* 1, no. 1, v. 1, no. 2, etc.
- Expansion of compressed holdings results in an itemized, piece by piece or volume by volume display. It also employs the publication pattern if two or more levels are present.

28 SCCTP Serial Holdings Workshop June 2002

Compression

Compression of holdings means that if a pattern is present, the system uses a computer algorithm to compress all the single issue lines (NISO level 4 or 5 holdings) of the MFHD record and collapse them into a summary level statement. A compressed holding makes a good first level display, though other levels might be desirable for those seeking more detail. It is also good for reporting output. At its most advanced, compression takes account of breaks in the holdings, compressing statements around each break. If more than one level of holdings is present, e.g., both volumes and numbers, it is necessary to input *pattern* elements so that the computer can calculate how to compress the statement.

Expansion

The concept of expansion is the exact reverse of compression, that is to take summary holdings and create issue level or volume level statements. Level 3 holdings can be expanded (but only to the volume level). Level 4 holdings can be expanded to the issue level if a publication pattern is present (and all variations correctly noted).

85X First indicator: compressibility and expandability [853, 854 only]

Values are:

0 - Cannot compress or expand

1 - Can compress but not expand

2 - Can compress or expand

3 - Unknown

29

SCCTP Serial Holdings Workshop June 2002

The 853 and 854 1st indicator is coded according to whether compression or expansion is possible Index units cannot be compressed or expanded, so the first indicator is left blank.

85X First indicator 0
Cannot compress or expand [853/854]

Example:

853 00 $8 1 $a v. $b no. $i (year) $j (month)
863 41 $8 1.1 $a 1 $b 3-4 $i 1994 $j 07-10
863 41 $8 1.3 $a 2 $b 1 $i 1995 $j 01

May display as:

v.1:no.3-4(1994:Jul.-Oct)
v.2:no.1(1995:Jan.)

These holdings have no pattern present. Despite the detail given, they cannot be expanded or compressed.

Because the computer has no data on how many issues per volume nor a frequency, it cannot tell whether it can compress these holdings further or expand them to full itemization; for example, it cannot tell whether or not volume 2, number 1 follows immediately after volume 1, no. 4. The missing values are some of the pattern elements that will be covered in Session 5. First indicator 0 will often be used when manually inputting retrospective holdings without patterns.

85X First indicator 1
Can compress but not expand

Example:

853 10 $8 1 $a v. $b no. *$u 4 $v r* $i (year) $j (month)
863 40 $8 1.1 $a 1 $b 3-4 $i 1994 $j 07-10
863 41 $8 1.3 $a 2 $b 1 $i 1995 $j 01

May display additionally as:

v.1:pt.3(1994:Jul.)-v.2:pt.1(1995:Jan.)

Can compress because the pattern for "no." will tell the computer that there are four numbers to a volume, so these parts are sequential. To expand, however, it would need to know frequency and point in the year when the new volume should begin (as on next slide).

31

SCCTP Serial Holdings Workshop June 2002

Now we add the data that there are four parts, numbered 1 to 4, within each volume.

(Mini-preview of the pattern elements)

These holdings may be compressed because the pattern will tell the computer that these issues are sequential. The computer can use the pattern algorithm to calculate that volume 2, part 1 should follow volume 1, part 4.

If the holding were a summary holding and the computer were asked to expand it, however, it would need more information: the frequency of the serial, the calendar point at which the volume changeover takes place (called calendar change), and any variations to be reckoned in the numbering or chronology.

85X First indicator 2
Can compress or expand

Example:

853 20 $8 1 $a v. $b no.*$u 4 $v r* $i (year) $j (month) *$w q $x 01*

863 41 $8 1.1 $a 1 $b 3-4 $i 1994 $j 07-10

863 41 $8 1.3 $a 2 $b 1 $i 1995 $j 01

May display additionally as:

Compressed: v.1:no.3(1994:Jul.)-v.2:no.1(1995:Jan.)

Expanded: v.1:no.3(1994:Jul.) v.1:no.4(1994:Oct.) v.2:no.1(1995:Jan.)

A system could both compress and expand these holdings because,

with the pattern of the *parts per volume*

plus the *overall pattern elements* of frequency, calendar change, and variations (if any) in publication schedule,

there is enough information for the computer to make the necessary calculations.

Also use this value if there is only one level (the first or highest level) of caption data; i.e., only combinations of 85X $a, $i, $g, and $m.

(The first two subfields are the used for the first level captions of the main numbering; the latter two subfields are used for the first level captions of the alternative numbering, if any.)

85X First indicator 3--
Unknown compressibility

- It is unknown whether enumeration and chronology data in the linked 863 or 864 field can be compressed or expanded.
- This value is often the default value for the automated creation or conversion of holdings data.

Conversion or creation programs used by systems will often ask that a default value be assigned to a particular field. This is asked because those systems use programs that validate indicators against a table of authorized values. When converting data from one system to another or creating holdings automatically from other system records, systems that use a validation table require a valid code.

Clean-up of these automated converted or created records may require manual resetting of indicator values.

85X Second indicator: *Caption evaluation* [853/854 only]

- Indicates the completeness and accuracy of the captions for the various levels of enumeration and chronology and whether they have been verified from the pieces.
- *Values:*
  - 0 - Captions verified; all levels present
  - 1 - Captions verified; all levels may not be present
  - 2 - Captions unverified; all levels present
  - 3 - Captions unverified; all levels may not be present

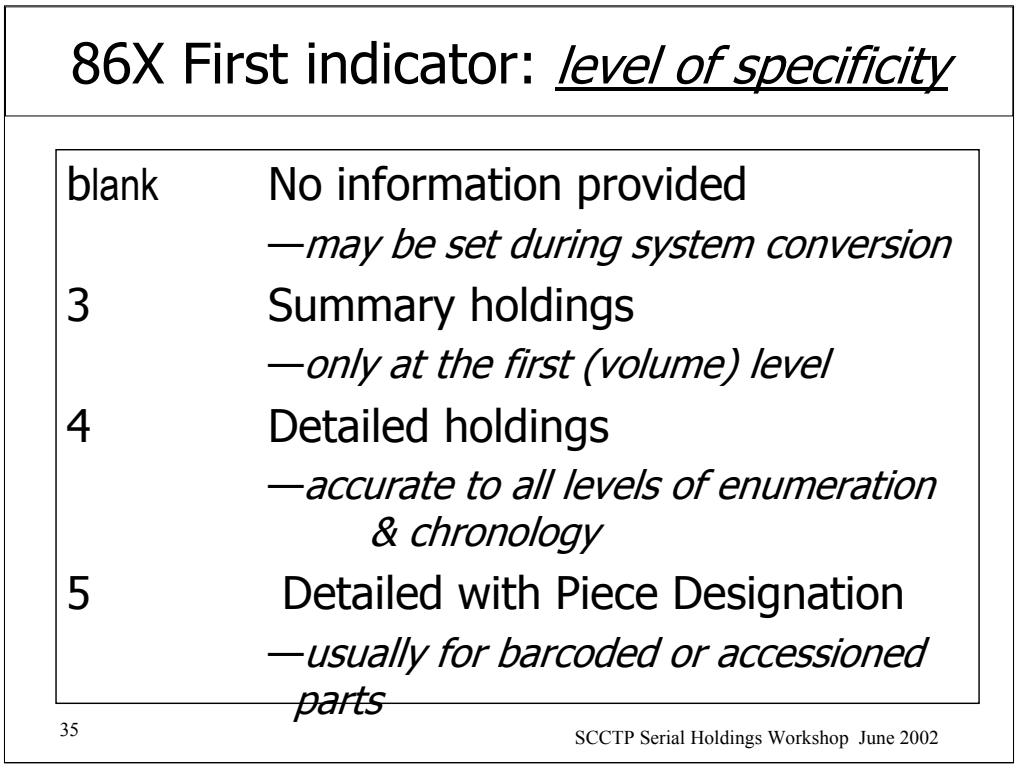
34

SCCTP Serial Holdings Workshop June 2002

The 85X second indicator communicates whether or not issues have been physically examined to determine captionsand the levels of enumeration. This indicator might be used for reporting or display purposes.

Note: If you are substituting English captions for foreign languages, use value 2 or 3.

Because the captions in an index holding refer to the volumes indexed, the second indicator is not used in an 855 field. In fact, both indicators are blank.



Indicators

•**First indicator**

Recalls thelevels of Z39.71.

Level 3 **summary holdings**

– if you know you have some part of a volume but you do not know which part

Level 4 **detailed holdings**

– you guarantee that all holdings are described accurately, including any gaps in holdings.

Level 5, **detailed with piece designation**

–field has a barcode or accession which links to item information. In updated systems, some item information is carried in 876, 877, or 878 field.

–Items are discussed in Appendix 10.

86X second indicator:
Form of holdings

0 - Compressed; display is generated
1 - Uncompressed;display is generated
2 - Compressed; use Textual display
3 - Uncompressed; use Textual display
4 - Item(s) not published

*Note: The only valid values for **865 (Index)** are second indicators **1** and **3 (uncompressed).***

36

SCCTP Serial Holdings Workshop June 2002

•**Second indicator**

2 purposes:

1) Tells whether the holdings statement represents

-a single physical unit, such as one issue or one volume

-a range of physical units, such as a group of issues or volumes

2) Shows whether or not this field should display in the online system.

<Instructors: It would be good to mention here that coded holdings can be replaced with Textual Holdings fields for display, for reasons of readability, convenience, or other factors.

This process will be more fully described in Session 6.. >

Therefore **four** indicators are needed **(0,1,2,3)** for the four possible combinations.

An additional value, **4** is defined for items not published but its use is unclear. It would be used in lieu of value 'n' in subfield $w.

Special case:

Holdings for indexes may not be compressed, nor may they display as "not published." Therefore the only values used with 865 are 1 and 3 (uncompressed).

86X 2nd indicator 1: Uncompressed holding (issue level)

New holding at time of check-in (Italian title)

853 20 $8 1 $a t. $b n. $i (year) $j (month) $k (day)

863 41 $8 1.1 $a 4 $b 1 $i 1997 $j 01 $k 01

NISO display:
t.4:n.1(1997:genn.1)

We are discussing 2nd indicator value 1 before 0 because that is the logical progression!

37

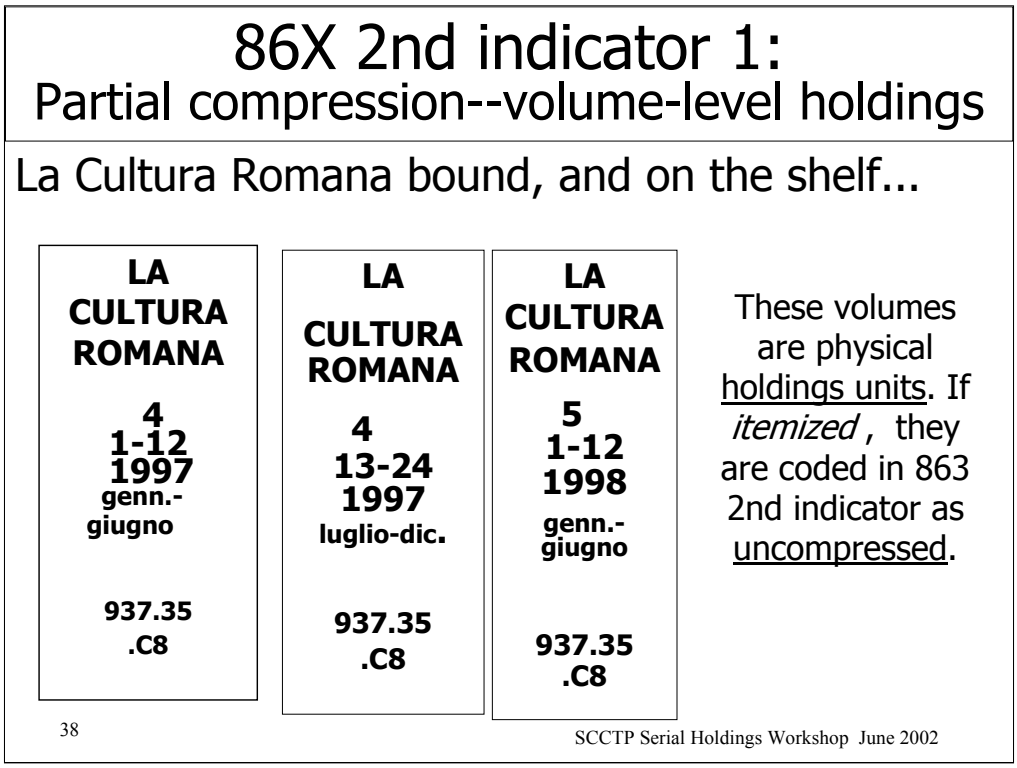
SCCTP Serial Holdings Workshop June 2002

Fully itemized (uncompressed) holding (Check-in)

<Animated slide. *The instructor may fill this holding in interactively with the aid of a flipchart, or display the values on the screen. Explain that it illustrates how one would receive a title at the "issue level" during the check-in process.* >

Value 1 is used in the 2nd indicator when individual issues are recorded.

Note that this example includes interesting things such as roman numerals and Italian captions, which will be discussed a little later.



Partial Compression to Volume Level

•When a title is bound, the issue-level holdings may be partially or fully compressed.

•Using partial compression, the library may choose to store holdings at the volume level in order to display circulation statuses, special piece level notes, or the like.

• The physical volume may or may not be equivalent to the bibliographic unit. Here the volume has had to be split for reasons of size.

86X 2nd indicator 1: Itemized volume-level holdings (with barcodes)

853 00 $8 1 $a t. $b n. $i (year) $j (month)$k (day)

863 51 $8 1.1 $a 4$b 1-12 $i 1997 $j01-06 $p10043235678

863 51 $8 1.2 $a 4 $b 13-24 $i 1997 $j 07-12 $p11857763493

863 51 $8 1.3 $a 5 $b 1-12 $i 1998 $j 01-06 $p13278765835

…[etc.]

In updated systems, barcode moved to item fields 876-878, but the rest of the coding remains the same.

39

SCCTP Serial Holdings Workshop June 2002

Itemized holding at Volume Level (OPAC, Report, Circulation System).

<Animated slide>

•This screen shows volumes coded as bound (at the physical piece level). This is partial compression; the "day" level is removed from the actual data. k

•This is a degree of compression that libraries may be using more frequently (to judge from web-available catalogs). However, it is not for every library. If you neither bind, nor barcode, nor circulate, you may not contemplate using this level.

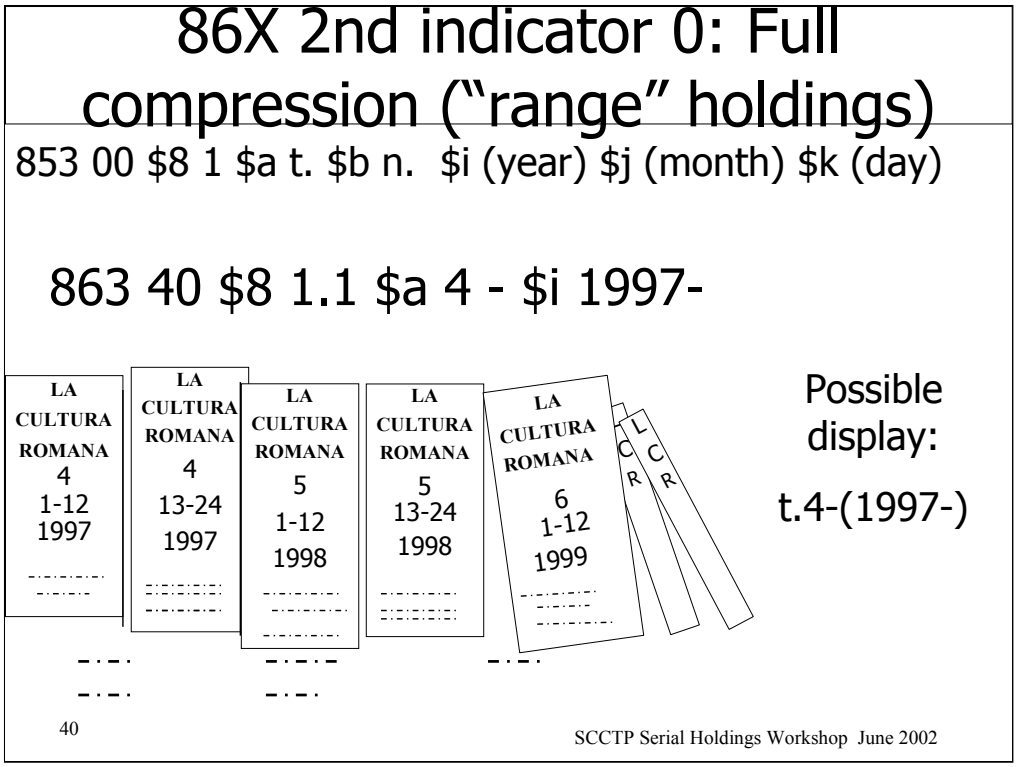
• Because the volume holdings show a single physical unit, the second indicator is 1 instead of 0.

•First indicator 5 shows that the fields contain or are linked to a piece designation (a barcode or other item information, subfield $p). Subfield $p in the newest systems is moved to special item fields 876-878.

•Though barcodes are illustrated here, holdings may be itemized without piece designations.

•Second level of the holding ("no.") retained and compressed (expressed as a range) because the twenty-four numbers have to be split between two physical volumes.

<As an exercise, the instructor may ask for guidance in writing out the public holdings display of this information.. It should then be easy to do the same on the next screen.>



D. Full Compression: Summary Holding

<Animated slide>

Here is the same data fully compressed from the issue or volume level to the level of a range of volumes. The second indicator is 0.

For the first time with Z39.71, it is permissible to code open holdings at Level 4. This coding is a guarantee (on your part) that all gaps will be entered specifically down to the issue level.

Commonly-used indicator values

The examples in these sessions show the indicator values you are most likely to use with **current receipts:**

853	1st ind.	2 (Can compress or expand)
	2nd ind.	0 (Captions verified; all levels present)
863	1st ind.	4 or 5 (Detailed holdings)
	2nd ind.	1 (Itemized holdings)

SCCTP Serial Holdings Workshop June 2002

Commonly-used indicator values

These indicators may be more commonly used with **retrospective holdings**:

853	1st ind.	3	(Unknown compression and expansion
	2nd ind.	3	(Captions unverified; all levels may not be present)
863	1st ind.	3	(Summary holdings with some missing issues, unspecified)
	2nd ind.	0	(Range of volumes)

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Summary

- *Holdings for issues and volumes, as well as summary holdings, are coded in 863-865, and paired with 853-855 captions for display.*
- *One 85X field can be paired with many 86X fields.*
- *Linking number of 85X is coded with a sequence number to display the proper captions and order the holdings sequentially. This number increments when captions or patterns change.*
- *Data fields comprise six levels of enumeration, 4 of chronology, plus alternative enumeration/chronology.*
- *Holdings can be coded at the issue level, the physical volume level, and the "range" or summary level. All levels have different uses and functions.*
- *Indicators show:*
  - *Ability to compress, Authoritativeness of captions, Level of specificity, and Status of compression.*

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Exercise

Here is the answer from our last exercise. Leave the first 853 indicator blank, since there is no pattern. Using the space beneath the holdings, write in what the compressed data would look like and supply the other appropriate indicator values (considering these issues as unbound).

853 __ $8 1 $a v. $b no. $i (year)$j (month)

863 _ _ $8 1.1 $a 3 $b 1 $i 1999 $j 06

863 _ _ $8 1.2 $a 3 $b 2 $i 1999 $j 08

863 _ _ $8 1.3 $a 3 $b 3 $i 1999 $j 10 $w n

863 _ _ $8 1.4 $a 3 $b 5 $i 2000 $j 02

863 _ _ $8 1.5 $a 3 $b 6 $i 2000 $j 04

SCCTP Serial Holdings Workshop June 2002 44

Exercise

ANSWER SHEET

853 0 $8 1 $a v. $b no. $i (year)$j (month)
863 40 $8 1.1 $a 3 $b 1-3 $i 1999 $j 06-10 $w n
863 40 $8 1.2 $a 3 $b 5-6 $i 2000 $j 02-04

Holdings Session 5
Recording Patterns
(853, 854, 855 fields subfields $u - $x)

- *What are patterns?*
- *Where do you record publication patterns?*
- *How do systems correctly predict expected issues?*
- *What happens when a publication changes frequency or publication pattern?*

1

SCCTP Serial Holdings Workshop June 2002

Holdings Session 5 -- Recording Patterns

Contents

Warm Up Exercises

Ask how many people are using predictive check-in systems

When issues change publishing patterns or numbering what library operations are affected?

How do users ask for a particular issue of a title?

Concept for the session

Patterns are recorded in MFHD using a logical structure of subfield codes.

The values entered in these fields are used by systems to correctly predict expected issues and for the proper display of captions and dates.

Publication patterns

- New ILS systems are making much greater use of predictive check-in
  - System anticipates the next issues for rapid check-in
- Prediction is based on the pattern data from field 85X subfields u-y
- Many systems do not fully accommodate all pattern provisions of the MFHD.
- Yet, on the other hand, the Format also needs to recognize more patterns.

Publishing pattern

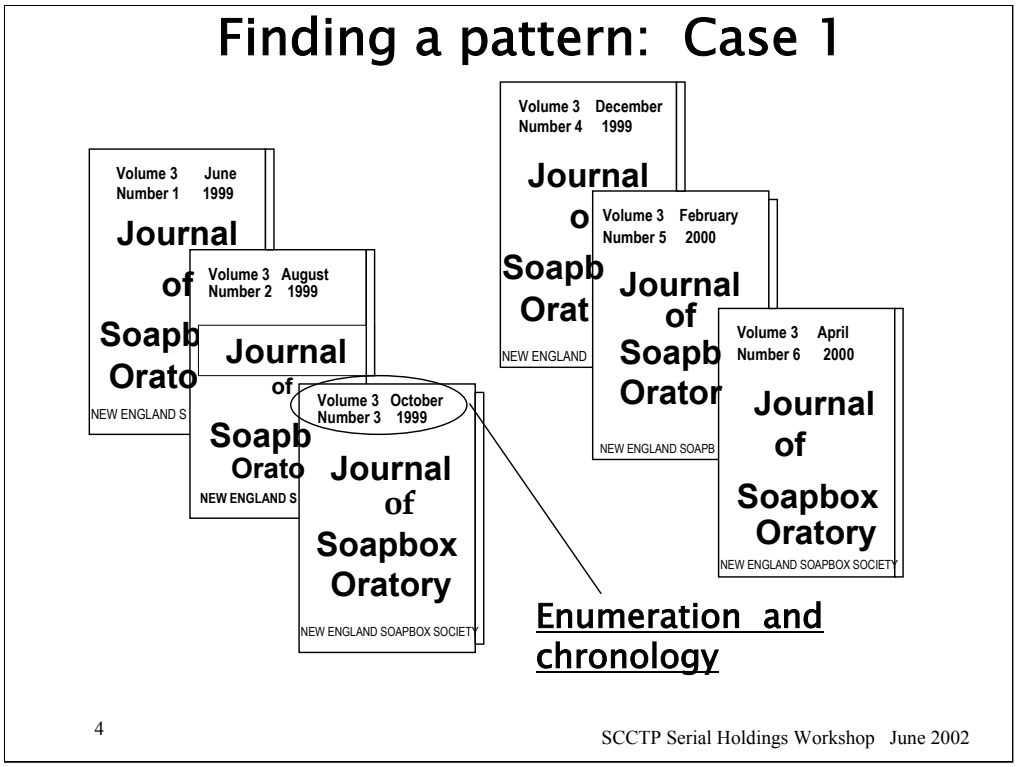
- *Number of units* for each part below first level, per next higher level
- Whether numbering *restarts* or *is continuous*
- *Frequency* (monthly, annual, etc.)
- The *calendar change* or point in the calendar year when the highest unit increments
- *Variations* in intervals of publication
  - All values are used for predicting a next expected issue ***IF*** the publishing pattern is regular in nature.

3

SCCTP Serial Holdings Workshop June 2002

Pattern data elements. Constructing pattern data codes for the pattern of receipt of a title enables it to be predicted in a serials control system. The elements of the pattern are given on the slide. Some of them have extensive possibilities for coding. The slides to follow will elaborate on these concepts.

The pattern information in the MARC format for holdings is used in systems for predicting a next expected issue IF the publishing pattern is regular in nature. Remember, if you don't know when the next issue of the title is expected, a computer won't either!



<Instructors: For this segment, we are imagining putting holdings online for the first time, and doing some preliminary work identifying holdings information.

Ask the audience to tell you what they can about this journal. It is also your chance to illustrate the vocabulary: designation, enumeration, chronology, pattern, frequency, regularity, captions, restarts, calendar change, pattern change. Indicate that there is an glossary in Appendix 4.

They should be able to tell you, with prompting, that

•it has one volume per year with six issues per volume and that the internal numbering restarts with each new volume

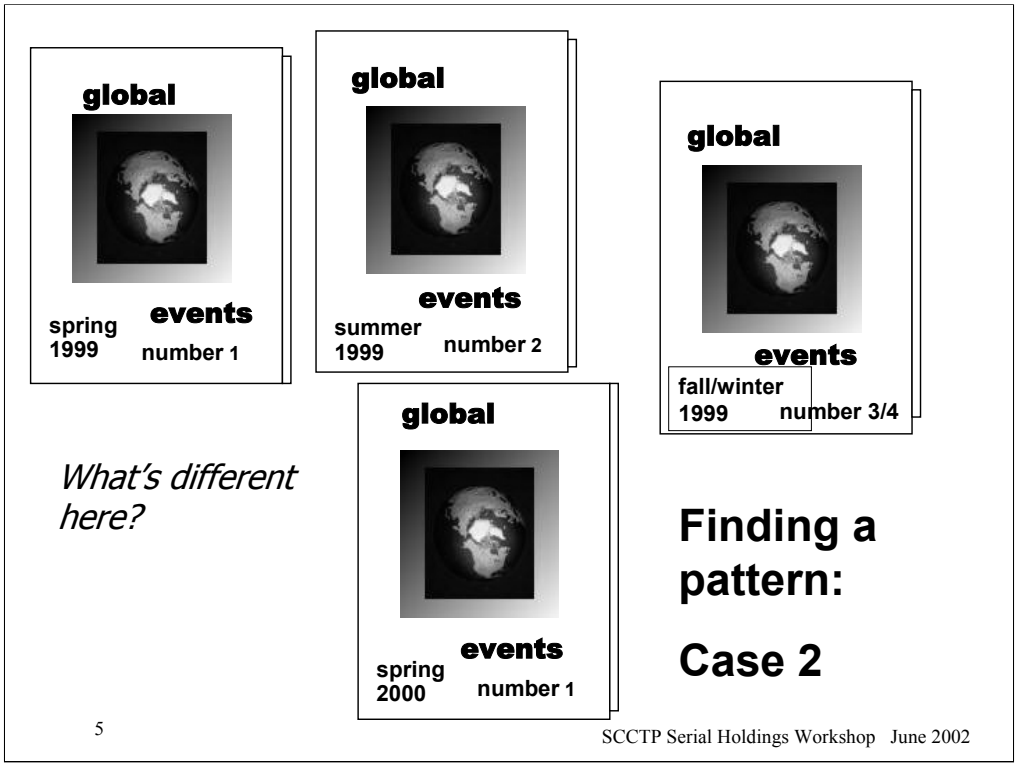
•it seems to be a regular bimonthly

•the new publication year starts in June

•that the next issue will probably be Volume 4, no. 1 (June 2000)

•that, on the other hand, occasional variations could occur, such as a combined issue. Variations have to be watched to see if they recur regularly. If they do, the pattern is said to have changed. >

Since the first issue shown is volume 3, no. 1, there are probably previous issues--but we don't know whether the title was the same at that point. In holdings, you might want to leave room for them in case they are part of this title, and arrive later.>



<Instructors: Ask the audience to tell you the difference between the designation printed on this serial cover and that on the previous slide.>

They should point out

•there are four issues per year--a quarterly frequency

•there is no enumeration designation at the "volume" level

•the internal issue numbering, "number," restarts here also, but this time when the year is completed

•the chronological divisions are "year" and "season".

•it also takes four issues before the internal numbering restarts with number 1.

Publication pattern subfield codes $u - $y

- $u Bibliographic units per next higher level
- $v Numbering continuity
- $w Frequency
- $x Calendar change
- $y Regularity pattern

Here are the subfield codes associated with the pattern concepts we have been discussing.

The placement of $u and $v is immediately after the caption to which they refer.

The placement of $w, $x, and $y is after the last chronology caption.

Patterns and compression

Patterns are...

Not required in 853/854 for compression or expansion when only the highest level of enumeration is present in the 863/864.

Required in 853/854 for compression or expansion when subsequent levels of enumeration are present in the 863/864.

This means that a computer should be able to compress v.1, v.2, v.3 into v.1-3, and then re-expand them, without the aid of a pattern! Some systems can.

7 SCCTP Serial Holdings Workshop June 2002

After the publication pattern is used to predict the arrival of an issue, the values remain in the record. When the pattern is eventually closed, the pattern values may be used to govern the process of compression or expansion of the enumeration and chronology data. If there is no need to compress or expand holdings, it may be unnecessary to add pattern elements when holdings are being input retrospectively.

853 and 854 first indicator values are governed by the presence (or absence) of pattern elements, as explained in Session 4.

If holdings are itemized at the highest level (e.g., volume), without any lower levels, a pattern should not be necessary to compress and re-expand those holdings.

Now we will look at the pattern subfields individually.

Bibliographic units per next higher level Subfield $u

- Specifies the total number of parts that comprise the next higher level of enumeration.
- Not used with subfield $a or $g (highest level).
- Follows the caption subfield to which it applies.
- Values:
  - [n] (Number of parts)
  - var (Varies)
  - und (Undetermined)

8

SCCTP Serial Holdings Workshop June 2002

Number of units per higher-level unit. This element describes how many units will be published before the number of the level above increases by 1. The value is used as a trigger by systems. For example, if a title consists of "volumes" and "numbers", and each volume consists of 12 numbers, the number of units for the numbers is 12. After 12 numbers have been received, the system automatically increments the volume number. The value in subfield u may help a system "know" when to increment the number for the next higher level of the hierarchy.

Subfield $u Examples

On issue: May 1998 volume 12 number 4 [Monthly]

Coded as: 853 20 $8 1 $a v. $b no. $u 12 $i (year) $j (month)

On issue: volume 21 number 4 part 5
[4 numbers in a volume, but a varying number of parts in each number]

Coded as: 853 20 $8 1 $a v. $b no. $u 4 $c pt. $u var*

**No prediction can be made on the basis of values var and und.*

9 SCCTP Serial Holdings Workshop June 2002

1st example:

A system counts the pieces, then automatically increases the volume number after receiving or expecting each 12th issue.

2nd example:

A system would not know when to increment the value in the 863 subfield b, corresponding to the caption **"no.",** because the number of **parts** that make up each number, coded in 853 subfield c, varies. The incrementing of the value for each number would require manual intervention. However, after 4 numbers had been received, the system could automatically increment the **volume** number, because 4 numbers comprise a volume.

Numbering continuity subfield $v

One-character code indicating whether the numbering of the described level continuously increments or restarts.

Values:

- c (Numbering increments continuously)
- r (Numbering of unit restarts at the completion of the unit next above it)

10 SCCTP Serial Holdings Workshop June 2002

Numbering restarts or is continuous. This element describes whether the numbering of internal partsgoes back to 1 or continues to increment when the higher-level numbering increments; e.g., is it v.2: no.1 or v.2:no.13?

The **highest** level of the holdings hierarchy is, by its nature, *continuous*. But each **lower** level might be either *continuous* or *restarting,* depending on its behavior when the level above it increases. A system uses this field to predict the next expected issue number.

Subfield $v Examples

On issues: Volume 1 part 12
Volume 2 part 13
Volume 2 part 14

Coded as: 853 20 $8 1 $a v. $b pt. $u 12 $v c

On issue: volume 21 number 4 part 2

Coded as: 853 20 $8 1 $a v. $b no. $u 4 $v r $c pt. $u 2 $v r

11

SCCTP Serial Holdings Workshop June 2002

1st example:

The highest level of enumeration automatically is considered to increment continuously. In the example, the number of units present for each volume consist of 12. After the 12th issue is received the volume number increments and but the numbering for each part increments continuously.

2nd example:

The bibliographic units consist of 4 numbers per volume and 2 parts per number. The issue numbers restart with each volume and the part numbers restart with each issue.

Frequency
subfield $w

One-character code or a number indicating publication frequency.

Codes are used for regular frequencies. For example:

a - Annual b - Bimonthly c - Semiweekly d - Daily
m - Monthly q - Quarterly x - Completely irregular

A number is used to specify the issues per year when issues come regularly but there is no code established for their interval (e.g., 5,7,13/yr.)

12 SCCTP Serial Holdings Workshop June 2002

Frequency. This element describes how often a title is issued. This value may be plugged in automatically from the MARC bibliographic record frequency element or may have to be input manually. This information is used in systems in predicting expected issues. For example, if a title is coded as a monthly, after the March issue is received, the next expected issue would be the April issue. The code is not relatedto a specific caption but to the "fundamental periodicity" of the publication itself--that is, to the number of issues per year. If there is a fundamental periodicity but some issues vary from it, use the code for the fundamental periodicity and use subfield $y to code the variations.

Subfield $w is input after the last chronology caption. The complete set of codes is contained in Appendix 5.

Subfield $w Example

On issue: June 1999 volume 8 no.10 {Monthly}

Coded as: 853 20 $8 1 $a v. $b no. $u 12 $v r $i (year) $j (month) $w m

On issue: volume 21 number 3 May 1996 {5 issues per year}

Coded as: 853 20 $8 1 $a v. $b no. $u 5 $v r $i (year) $j (month) $w 5

13

SCCTP Serial Holdings Workshop June 2002

1st example:

This publication has a regular publishing frequency of monthly; therefore subfield w contains the value *m.*

2nd example:

Each volume of the title consists of five numbers. There is no codable frequency for this issuance pattern; therefore a number value, *5,* is entered in subfield w.

Calendar change
Subfield $x

- A two-character code identifies the month or season of the calendar change.
- A four-character code (*mmdd)* identifies the month and the day of change. A month or day code of less than two digits is right justified and the unused position contains a zero.
- Month: 01-12 Day: 01-31
- Season: 21(Spring) 22(Summer) 23(Autumn) 24(Winter)

14

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Calendar change. The calendar point when the highest level increments, which may correspond to a lower level value. For example, a quarterly may identify itself by volume and season. If the calendar change value is 23 ("fall") the volume changes when the fall issue has been received. From two to four character positions may be used in this element; two for a month or season, four for an exact month and day. There may also be a string of values, separated by commas, when multiple volumes occur within a year.

A system uses this date information to predict the date associated with the the changeover of the volume. This field could override subfield $u (counting the number of parts which go to make up the volume) when that number varies from the usual.

Subfield $x Example

On issue: January 1999 Vol. 6 No. 1 {Monthly}

Coded as: 853 20 $8 1 $a v. $b no. $u 12 $v r $i (year) $j (month) $w m $x 01

On issue: volume 21 number 4 October 1996 {monthly, 2 v. per year}

Coded as: 853 20 $8 1 $a v. $b no. $u 6 $v r $i (year) $j (month) $w m $x 01,07

1st example:

Each new volume begins in January, so subfield **x** was coded with 01. A system uses this field to automatically increment the volume numbering. In this example, the system would automatically increment the volume number for the January issue.

2nd example:

This is a monthly publication which has 2 volumes per year. Each volume consists of 6 numbers. New volumes start in January and July; therefore subfield **x** is coded with 01 for January and 07 for July. When a January or July issue is checked-in, the volume number increases.

Regularity pattern
Subfield $y

- Indicates *regular exceptions* to a specific regular pattern (i.e., normalized irregulars).
- Describes the exceptions to the publishing pattern coded in subfield $w (Frequency).
- Contains coding that specifies which issues are published or omitted.
- Codes are entered in this order:
  (publication code) (chronology code definition) (chronology code)

16 SCCTP Serial Holdings Workshop June 2002

Subfield **y** is used for those exceptions to a regular publishing pattern that occur on a predictable basis. These titles are what catalogers call "normalized irregulars." For example, there may be a monthly that never publishes a July issue, or a quarterly that combines fall and winter issues. Subfield y uses a combination of three codes in this order:

publication code - telling whether the variation will be described in terms of publication or omission of publication

chronology code definition - specifying whether the term will be a month, month and day, season, etc.

chronology code - the exact calendar period when units are omitted or published.

A system uses this coding for predicting the issues that vary from the normal receipt pattern. True irregulars, those titles that you don't know when to expect the next issue or the title changes volume numbering at whim are always a problem -- for us-- and for a computer.

Subfield y is used only for exceptions to a regular publishing pattern. For example if a title publishes as a monthly and issues are published every month subfield y would not be created.

Regularity pattern subfield $y (Cont.)

- First code indicates whether the subsequent codes refer to issues that are omitted or published.

  Publication code: o - Omitted p - Published

- Second code indicates the day, numeric month or month-and-day, season, or week that is omitted or published.

  Chronology code definition:

  d - Day m - Month s - Season w - Week

17

SCCTP Serial Holdings Workshop June 2002

The first two codes indicate whether and when something is or is not published. In most cases it is easier to identify when issues are published rather than when they are not.

Each system may have constructed the algorithm used for predicting expected issues differently and may have a preference for coding regularity in subfield y. It may be prudent to ask your system vendor how coding should be entered.

.

Regularity pattern subfield $y (cont.)

The third code or set of codes *(chronology code(s))* indicates when the issues are or are not published.

Day: mo,tu,we,th,fr,sa,su Days of the month: 01-31

Weeks of the year: 01-53 Months of the year: 01-12

Seasons: 21 (Spring) 22 (Summer) 23 (Autumn) 24 (Winter)

The third set of coding in subfield y indicates the specific calendar periods when an issue of a title is or is not published. Multiple codes are separated with a comma.

Subfield $y Example

The *Scuba Special Review* is published five times a year, in June, August, October, February, and April.

On issue: June 1999 volume 3 number 1
In 853: $y pm06,08,10,02,04

p = published
m = following codes are for months
01, etc. = months when the serial is published.

(This is a nearly bimonthly publication, but since a December issue does not appear, a regularity pattern is needed.)

19

SCCTP Serial Holdings Workshop June 2002

The first code in subfield y is **p** for published and the second code **m** for the months of publication. The last coding string, to the end of the subfield, identifies the specific months numerically.

Changes to patterns

- Like *changes in captions, changes in pattern* require a new 85X.
- Close the old and open a new field anytime a change occurs that would require different coding in the subfields, for example:
  - Frequency changes
  - Issues start being combined or omitted
  - Numbering becomes continuous rather than restarting
- A subfield $3 may be input to aid staff coders by showing the duration of the pattern, if this is not clear from the 86X fields.

A change in a pattern will probably require that holdings associated with the old pattern, coded in an 85X with a specific linking number, be closed.

A new 85X is opened with the new pattern, and the associated holdings all have the new linking number.

If the duration of the patterns is not clear from the holdings, a subfield 3 may be given to indicate this more clearly.

The next slide illustrates these concepts.

Pattern change--Example

853 20 $8 1 $a v. $b no. $u 4 $v r $i (year) $j (season) $w q $x 21 $3 v.1-11

863 40 $8 1.1 $a 1-10 $i 1980-1989 $w g

853 20 $8 2 $a v. $b no. $u 3 $v r $i (year) $j (season) $w q $x 21 $y ps21,22/23,24 $3 v.12(1991-)

863 40 $8 2.1 $a 13 $b 3- $i 1992 $j 24-

Possible display:
v.1-10 (1980-1989),
v.13:no.3-(1992:winter-)

Library has a gap from Vol. 11,no.1 to Vol. 13, no. 2. They know that the new pattern first occurred during their gap.

21

SCCTP Serial Holdings Workshop June 2002

This minor change from a straight quarterly to a quarterly with a combined summer/fall issue has nonetheless required the closing of an old pattern and the opening of a new one.

In this case there was a gap in the library's holdings right during the period when the pattern was changing. To show the data on the change, the library has coded a subfield 3.

Summary

Pattern information is used for two major purposes:

- *– Prediction of expected issues for check-in, and subsequent claiming of issues not received*
- *– Compression and expansion of existing holdings in the OPAC.*
- *– If compression and expansion will not be needed in the OPAC, a library may omit the pattern when inputting holdings retrospectively.*

Exercises

Complete an 85X field for each example.

Use all subfield codes necessary.

Set the indicators so the holdings could be compressed or expanded and that all captions and levels of enumeration have been verified.

Create the field using the dollar sign ($) to delimit a new subfield code, e.g $a, $b, etc.

Exercises

1. Bimonthly: v. 47, no. 1, June 1991

2. Quarterly: v. 43, no. 1 Winter 1989

3. Monthly (does not publish Dec., June, July, and has a combined issue of Aug./Sept.: v. 12, no. 1, Jan. 1990)

4. Daily with a combined Saturday/Sunday issue: Friday Jan. 1, 1999

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More exercises

5. Issued 9 times a year in 3 volumes, numbering continues within the year: v. 22, no. 1 Jan. 1993; v. 23 no. 4 Apr. 1993; v. 24, no. 7 Oct. 1993

6. Irregular with 9 issues per volume: v. 6, no. 1 Sept. 1998

7. "1990 Annual Best of the Literature Review" which is a supplement to the monthly title, Literature review

8. Monthly, in 2 v.: v. 3, no. 1 Jan. 1989; v. 4, no. 1 July 1989

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Answers to Exercises

1. Bimonthly: vol. 47, no. 1, June 1991

853 2 0 $8 1 $a v. $b no. $u 6 $v r $ i (year) $j (month) $w b $x 06

2. Quarterly : vol. 3, no. 1 Winter 1989

853 2 0 $8 1 $a v. $b no. $u 4 $v r $ i (year) $j (season) $w q $x 24

3. Monthly, does not publish December, June, July and has a combined issue of August/September: vol. 12, no. 1 Jan. 1990

853 2 0 $8 1 $a v. $b no. $u 8 $v r $ i (year) $j (month) $w 8
$y pm01,02,03,04,05,08/09,10,11

4. Daily with a combined Saturday/Sunday issue. Friday January 1, 1999

853 2 0 $8 1 $a (year) $b (month) $c (day) $w d $y
pdmo,tu,we,th,fr,sa/su

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Answers to exercises, cont'd.

5. 9 times a year in 3 volumes, numbering continues for the year, none published July-Sept.: vol. 22, no. 1 Jan. 1993, vo1. 23, no. 4, April 1993, vol. 24, no 7, Oct. 1993

   853 2 0 $8 1 $a v. $b no. $u 3 $v c $ i (year) $j (month) $w m $x 01,04,10 $y om07,08,09 [can also use pm coding here: $y pm 01,02,03,04,05,06,10,11,12]

6. Irregular with 9 issues per volume, vol. 6, no. 1 Sept. 1998

   853 2 0 $8 1 $a v. $b no. $u 9 $i (year) $j (month) $w var

7. "1990 Annual Best of the Literature Review" which is a supplement to the monthly title Literature Review.

   854 2 0 $8 1 $a (year) $o Annual best of the literature $w a

8. Monthly, in 2 volumes: vol. 3, no. 1 January 1989; vol. 4, no. 1 July 1989

   853 2 0 $8 1 $a v. $b no. $u 6 $v r $ i (year) $j (month) $w m $x 01,07

SCCTP Serial Holdings Workshop June 2002

Session 5—Exercise

- Complete an 85X field for each example.
- Use all subfield codes necessary.
- Set the indicators so the holdings could be compressed or expanded, and that all captions and levels of enumeration have been verified.
- Create the field using the dollar sign ($) to delimit a new subfield code, e.g $a, $b, etc.

1. Bimonthly: v. 47, no. 1, June 1991

853 _ _ $8

2. Quarterly: v. 43, no. 1 Winter 1989

853 _ _ $8

3. Monthly (does not publish Dec., June, July, and has a combined issue of Aug./Sept.): v. 12, no. 1, Jan. 1990

853 _ _ $8

4. Daily with a combined Saturday/Sunday issue: Friday Jan. 1, 1999

853 _ _ $8

5. Issued 9 times a year in 3 volumes, numbering continues within the year: v. 22, no. 1 Jan. 1993; v. 23 no. 4 Apr. 1993; v. 24, no. 7 Oct. 1993

853 _ _ $8

6. Irregular with 9 issues per volume: v. 6, no. 1 Sept. 1998

853 _ _ $8

7. "1990 Annual Best of the Literature Review" which is a supplement to the monthly literature review

854 _ _ $8

8. Monthly, in 2 v.: v. 3, no. 1 Jan. 1989; v. 4, no. 1 July 1989

853 _ _ $8

Holdings Session 6 -
Textual Holdings and Item Fields

- *When should textual rather than coded holdings be used?*
- *How are textual holdings structured? Linked?*

1

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Holdings Session 6 -- Textual Holdings and Item Fields

Contents

Warm Up Exercises

Informally, throw out the question (perhaps building on previous discussions): Thinking of check-in, circulation, and OPAC display, do we need more than one file of holdings?

Could some of the needs of separate files be met by separate *displays?*

Definition

Textual holdings

Single fields which combine captions (if any) with enumeration and chronology data. They are for display only (no other functionality is possible).

Depending on linking number used, textual holdings can

- display as sole holdings
- display with coded holdings
- replace display of coded holdings with same linking no.

2 SCCTP Serial Holdings Workshop June 2002

A. Textual holdings

1. Definition

These are single fields used for display of holdings. Since they are textual strings, they cannot be manipulated by computer. (This implies they should be all the more consistently input.)

They combine the 85X caption data with the 86X enumeration/chronology data.

Textual holdings have only the linking portion of the link and sequence number. They can be ordered by this number. Depending on the linking number used, textual holdings can

display as sole holdings (link no. 0).

–display between coded holdings

–replace display of coded holdings with same link no.

These fields are often used for retrospective holdings, particularly when they must be migrated from non-MARC systems or uncoded fields. However, in some systems and collections, they are used for all holdings.

Textual holdings

- Textual, or free-text, holdings, use three tags (like previous sets of tags)--
  - 866 (Basic bibliographic items)
  - 867 (Supplements)
  - 868 (Indexes)

3

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Categories

Like other sets of fields in the Holdings Format, textual holdings come in threes:

866 for basic bibliographic items

867 for supplements

868 for indexes

866-868 Field structure

866 _ _ $8 [Linking no.] $a [Captions and enumeration/chronology] $z [Public note] $x [Non-public note]

Linking number meaning:

- 0 — Display as sole holdings
- [unique no.] — Display in addition to 863-865 holdings
- [same as 863-865] — Display as substitute for the fields sharing linking number. 2nd Indicators of 863-865 set to 2 or 3 (non-display)

4

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<Animated slide>

2. Structure

a. General

In contrast to 863-865 holdings fields,

–have different indicator meanings (see following screens)

–have only linking numbers, without sequence numbers

»their relation* to any 863-865 linking numbers determines the significance of the linking number for display

–have all holdings in one subfield $a, including, in free-text form, both the captions and the enumeration-chronology

*The relationship is complex; how it operates and results in display depends on system programming. Testing in migration is advised.

Indicators of textual holdings fields

- First indicator: *Field encoding level*

[blank]	No information provided
3	Holdings level 3
4	Holdings level 4
5	Holdings level 5

5

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b. Indicators

The first indicator specifies the field encoding level.

•Again, the levels indicate the degree of specificity of the holdings.

•Level 3 specifies summary holdings at the volume level only.

•Level 4 is for detailed holdings in compressed or uncompressed form.

•Level 5 is for detailed holdings with piece designations. The latter may be in linked item fields 876-878.

•Often the default "No information provided" will be suggested when items are migrated. It would be valuable to assess the local holdings to judge whether it would be possible to assign one or more indicators during the migration.

Indicators of textual holdings fields

Second indicator: *Type of notation*

0	Non-standard
1	ANSI/NISO Z39.71 or ISO 10324 (the current standard)
2	ANSI Z39.42 (the 1980, superseded standard)

6

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The second indicator specifies the type of notation.

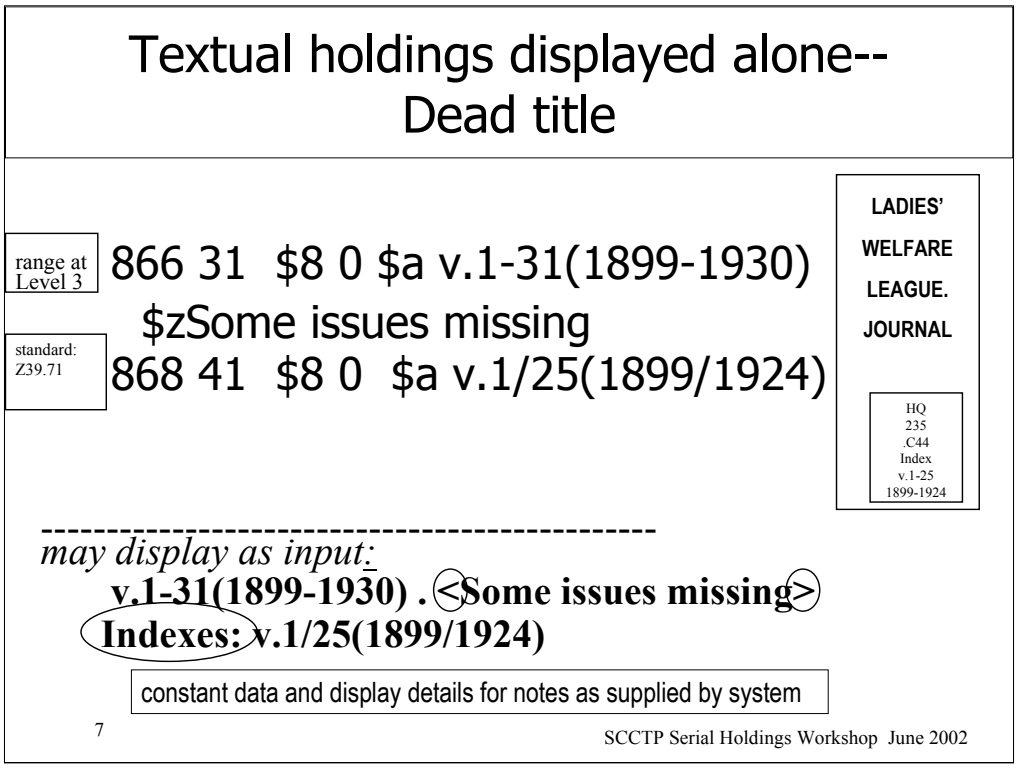
If the holdings are not in standard form, they may be following a local standard.

If they follow the Z39.71 standard or its international equivalent, ISO 10324, they adhere to the definitions of summary and detailed holdings given in that standard.

If they follow Z39.42, they are probably older holdings that have never been updated according to later standards.

some characteristics of Z39.42 holdings:

- –lack captions
- –volume listed only if more than 50% is held
- –no detailed holdings
- –usually does not list supplements and indexes



<Animated slide>

3. Uses of Textual Holdings Fields

a. Display of 866-868 as sole holdings

•The first example is of a holding given entirely in Textual Holdings field 866.

•Since there are gaps which cannot be specifically enumerated, but some of each volume is held, the basic bibliographic units are given at Level 3.

•There is an index, enumerated at Level 4.

•Note that the link number is 0, indicating that these holdings and no others will display.

•Some display features, like those circled, will vary from system to system.

Exercise:Retrospective holdings or holdings for a former or ceased title

- Enter the Holdings for Soviet Studies- call number: D1 .S72; Location: LJM Main Collection.
- Holdings in card file: 1-10,12-30 1962/63-1972, 1974-1991 and Cumulative Index for volumes 1-30

Exercise

852 _ _ |a |b |h |i

866 _ _ |8 |a

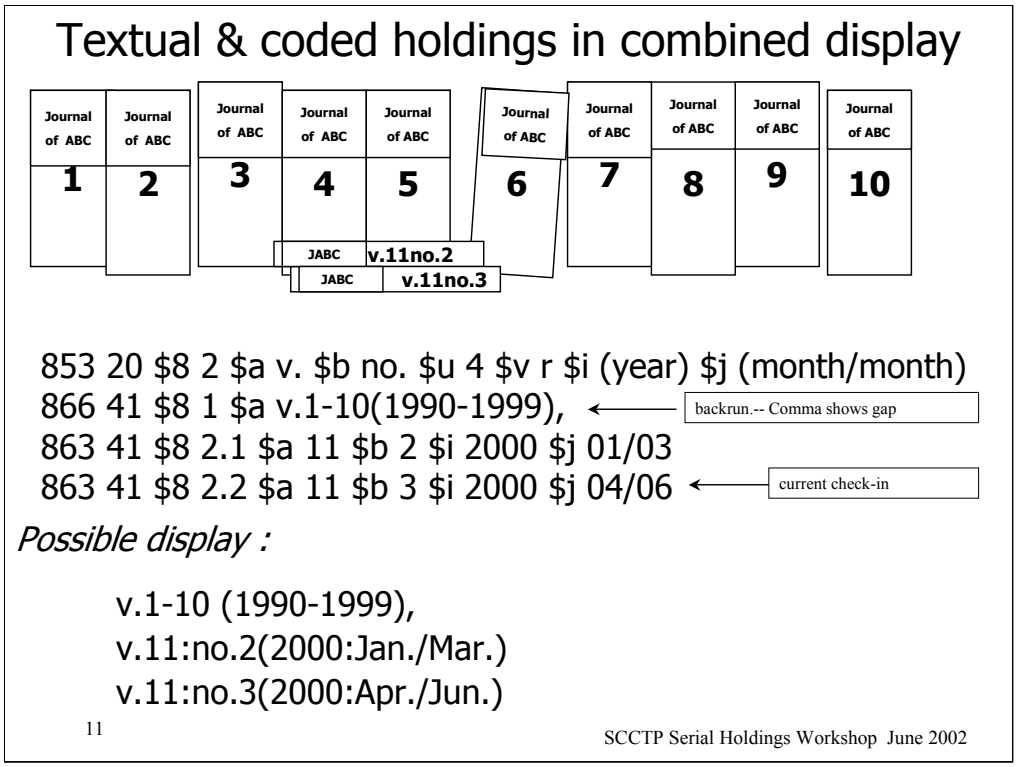
868 _ _ |8 |a |z

Answer

852 01 |aLJM |b Main |hD1 |i.S72

866 41 |8 0 |a v.1-10,12-30(1962/63-1991)

868 41 |8 0 |a v.1-30 |z Cumulative Index



<Animated slide>

b. Combined textual and coded holdings: Example 1: Backrun

•Here is a picture of a journal run that we saw in Session 2, and its record.

•The highlighted field is a Textual Holdings field, which is used for a backrun of the serial.

–may not be worth it to try to input a pattern not needed for check-in

•The current issues being checked in have a pattern and regular coded fields.

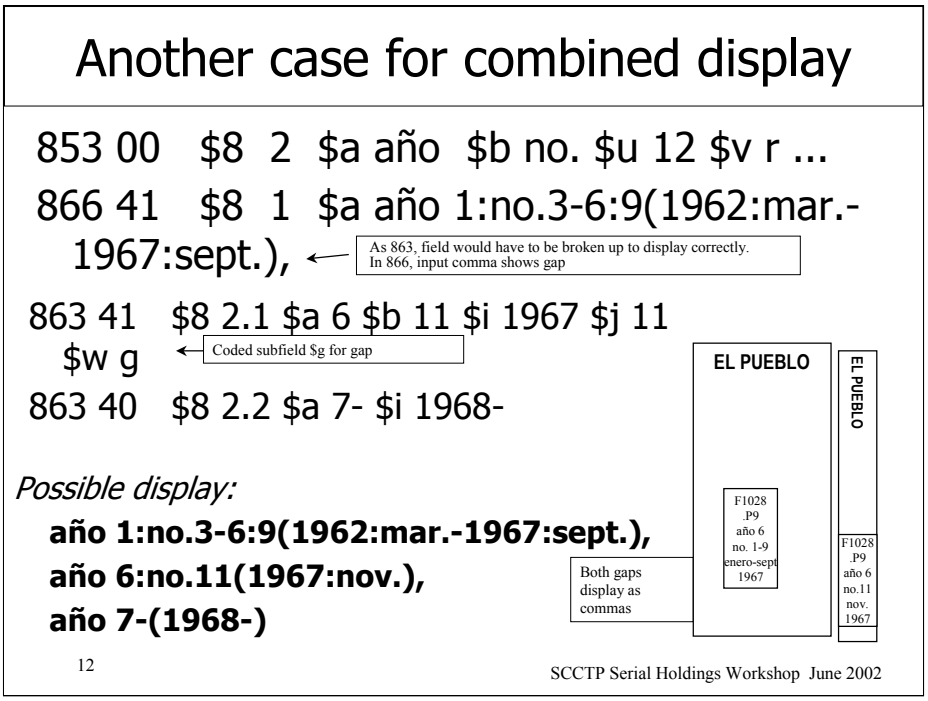
•Notes on 866:

–displays exactly as it is input

–linking number is used without sequence number

–linking number 1 places display before display from paired fields(linking number 2)

–gap represented by explicit (textual) comma instead of generated by a coded subfield ($w)



<Animated slide>

c. Combined coded and textual holdings: Example 2

Another case where textual holdings fields are commonly used:

•When there are both incomplete ranges and multiple levels, it is difficult to display coded fields correctly without breaking up the holdings into separate statements.

•To display correctly as 863, you would need the 866 (which does represent *continuous holdings)* parsed into three fields:

• one each for

– the first volume, año 1, no. 3-12, since only the last part of the volume is held,

– for volumes 2-5, complete,

– and for año 6, no. 1-9 (año 6 is incomplete and bound in two sections, as shown).

• But a library might prefer the shorter display or easier work of a free-text holding, especially when working from retrospective lists.

•The different linking numbers of the paired fields and the textual holdings field will allow both to display.

•There are gaps noted in both the textual and coded holdings fields. Though they are input differently, their display is identical.

•<Instructor could also note how display of months comes from both textual and coded (numeric) chronology>

Exercise: Current title with retrospective holdings

- Russian Studies Holdings v.31-40, 1994-2001 Library decided to detail the unbound current issues for v.40, 2001 holdings.
- So the library will build textual holdings for v.31-39 1994-2000 and 853/863 for the v.40 2001 issues

Exercise (cont.)

Russian Studies: Call number: D 1 .S721

Location LJM and Main Collection

Holdings: v.31-39 1994-2000

Detailed holdings for seasonal quarterly displaying v.40 2001 Summer, Fall, Winter,Spring

Resulting Display: Long University, Main Collection D 1 .S721

v.31-39(1994-2000)

v. 40:no. 1 (2001:summer) v. 40:no. 2 (2001:fall) v. 40:no.3 (2001:winter)

Exercise (cont.)

852 _ _ |a |b |h |i

866 _ _ |8 __ |a

853 _ _ |8 _ |a |b |u |v
|i |j |w |x

863 _ _ |8 __ |a |b |i
|j

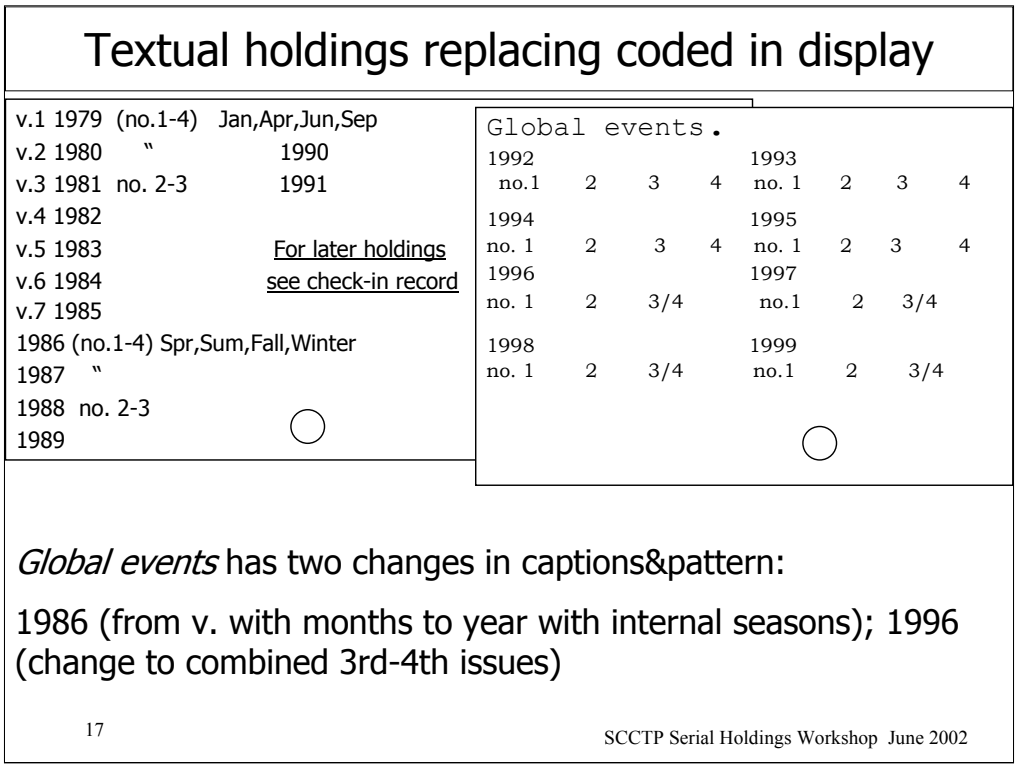
863 _ _ |8 __ |a |b | i
|j

863 _ _ |8 __ |a |b | i
|j

SCCTP Serial Holdings Workshop June 2002

Answer

852 01 |aLJM |bMain Collection|hD1|i.S721
866 41 |81|av.31-39(1994-2000)
853 20 |82|av.|bno.|u4|vr|i(year)
|j(season)|wq|x22
863 41 |82.1 |a40|b1|i2001|j22
863 41 |82.2 |a40|b2|i2001|j23
863 41 |82.3 |a40|b3|i2001|j24



d. Textual holdings as replacement for coded fields

–2 changes in captions and pattern in this title from Session 2.

In order to fully understand the relationship, some time will be spent here on the coded paired fields.

Global events: 853 Fields

853 20 $8 1 $a v. $b no. $u 4 $v r $i (year) $j (month) $w q $x 01 $y pm01,04,06,09 $3 1979-1985

853 20 $8 2 $a (year) $b no. $u 4 $v r $i (year) $j (season) $w q $x 21 $3 1986-1995

853 20 $8 3 $a (year) $b no. $u 3 $v r $i (year) $j (season) $w q $x 21 $y ps21,22,23/24 $3 1996-

<Animated slide>

<Instructor could note that from information on previous slide, we know that check-in started in 1992. Retrospective input of earlier patterns might not be done in many libraries, but is included here for illustration>

- Major change: 1986
  - –dropped volume numbers, used only a year with internal division into numbers.
  - –seasons instead of months as designations
    - »The first pattern was linking number 1.
    - »Because of the pattern change, a new linking number 2 is assigned.
    - »A subfield $3 helps a human reading the patterns understand quickly what the field applies to.
- Further change: 1996
  - –combined third and fourth issues
    - »new linking number 3
    - »subfield $y composed to show combined issues

Coded In Color .....

853 20 $8 1 $a v. $b no. $u 4 $v r $i (year) $j (month) $w q $x 01 $y pm01,04,06,09 $3 v.1-v.7

863 42 $8 1.1 $a 1-2 $i 1979-1980 $w g
863 42 $8 1.2 $a 3 $b 2-3 $i 1981 $j 04-06
863 42 $8 1.3 $a 4-7 $i 1982-1985

853 20 $8 2 $a(year) $bno. $u4 $vr $i(year) $j(season) $wq $x21 $3 1986-

863 42 $8 2.1 $a 1986-1987 $w g
863 42 $8 2.2 $a 1988 $b 2-3 $i 1988 $21-23 $w g
863 42 $8 2.3 $a 1989-1995

853 20 $8 3 $a (year) $b no. $u 3 $i (year) $j (season) $v r $w q $x 21 $y ps21,22,23/24 $3 1996-

863 42 $8 3.1 $a 1996-

19

SCCTP Serial Holdings Workshop June 2002

<Animated slide>

Shown are the coded fields, tagged 863, that go with the 853 fields.

•In many libraries, these might be input as individual volumes, as bound.

•Paired field construction:

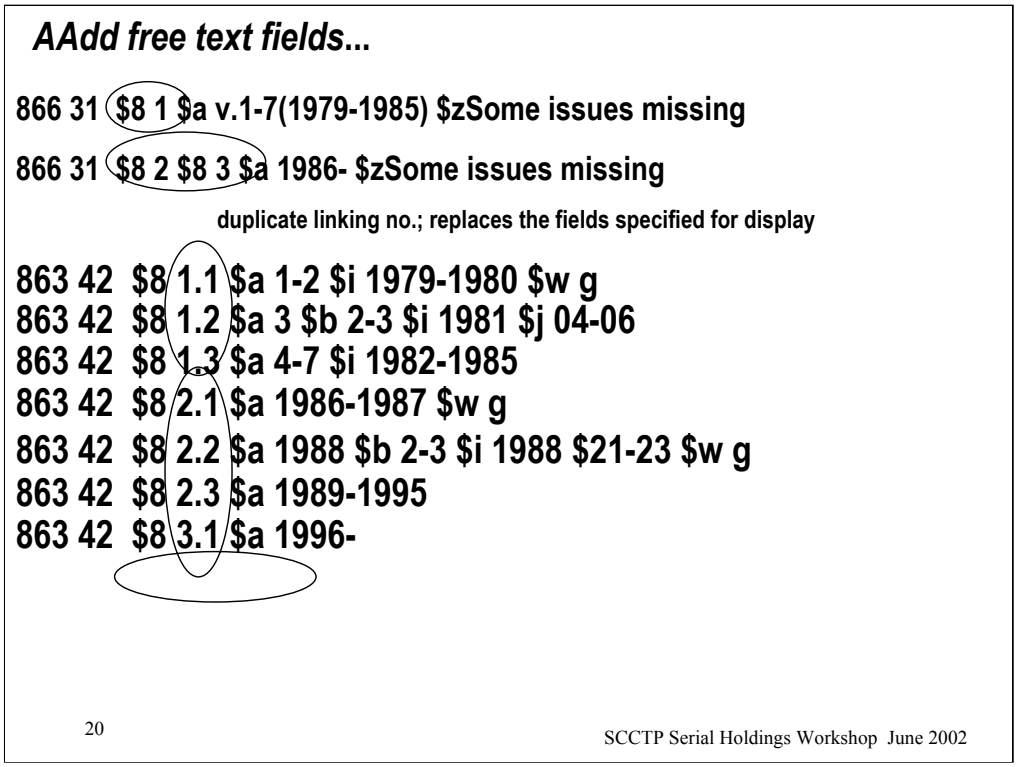
–"one to many."

– The placement of the field types in relation to each other, the use of sequence numbers, and other elements of this staff display may vary from system to system.

–Note the indicators of the 863 fields.

»first - level of specificity is 4, guaranteeing the completeness of all the units stated as held

»second - compressed and suppressed from display in favor of the free text field with the same link number.



<Animated slide>

866 textual fields shown in green,

863 fields are shown in blue.

•Textual field with linking number 1 replaces the first three 863's

–replaces them in display

•The second textual field has two linking subfields, containing values 2 and 3.

–in public display, replaces both 863 sets with those linking numbers .

•866 first indicator is 3 (Level of specificity 3--gaps not given in detail)

–I.e., both fields lack detail given in paired fields.

Now, using the 863 second indicator values, the online system suppresses the display of the 863 fields, and instead displays the textual holdings fields. The next screen shows this:

Possible displays:

Standard display **v.1-7 (1979-1985) <Some issues missing>**
1986- <Some issues missing>

Alternate Display * **v.1-2(1979-1980),**
v. 3:no.2-3(1981:Apr.-Jun),
v.4-7(1982-1985)
1986-1987,
1988:no.2-3,
1989-1995
1996-

***Though not apparently envisioned, the best option would be that the system could display the paired fields for users seeking more detail.**

21

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<Animated slide>

On this screen is a possible display.

Display from the textual fields is shown above the dashed line.

Display from the paired fields is shown below that line.. A library might want the longer display for users seeking exact (Level 4) holdings.

Really, the online system could evolve so that both of these displays were alternatives of each other. That would be one solution to the problem that we often need different kinds of displays for different purposes!

Exercise for Title Change

Title: Books changed to World Literature

Books call number: Z1007.B71 Location: LJM Literature Building

Holdings: volume 1, 1927; volume 25-50, 1951-1976 & special supplement no.1-4 1951-1954

Exercise for Title:Books

852 _ _ |a |b |h
|i

866 _ _ |8 |a

867 _ _ |8 |a |z

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Answer

Books

852 01 |aLJM |bLiterature Building |h Z1007 |i .B71

866 41 |8 0 |a v.1,25-50(1927,1951-1976)

867 41 |8 0 |a no.1-4(1951-1954)|zSpecial Supplement

Holding Display:

Long University, Literature Building

Z 1007 .B71

v.1,25-50(1927,1951-1976)

Supplement: no.1-4(1951-1954) Special Supplement

World Literature Exercise

World Literature call number: Z1007.B711 Location LJM Literature Building

Holdings: volume 55-61, 1982-1988; volume 63-69, 1990-1995; volume 71-73, 1997-1999 Express all holdings as open textual holdings statement

Issues for 2000-2001 had pattern changes and Library decided to record these patterns/holdings (853/863) in the holding record but only display the current unbound issues for v.75, 2001. Pattern for v.74,2000 frequency 3x a year: Jan,May,Sept; Pattern for volume 75,2001 is a quarterly published Winter, Spring, Summer, Fall.

World Literature Exercise

852 _ _|a |b |h |i

866 _ _|8 _ |8 _ |a |z

853 _ _|8 _ |a |b |u |v |i

|j |w

853 _ _|8 _ |a |b |u |v |i

|j |w |x

863 _ _|8 ___|a |b |i |j

863 _ _|8 ___|a |b |i |j

863 _ _|8 ___|a |b |i |j

World Literature Exercise Continued

863 _ _|8 ___|a |b |i |j
863 _ _|8 ___|a |b |i |j
863 _ _|8 ___|a |b |i |j
863 _ _|8 ___|a |b |i |j

World Literature Answer

852 01|aLJM |bLiterature Building |hZ1007 |i.B711

866 30|8 1|8 2 |av.51- (1977-) |z Some gaps

853 20|8 2 |av. |bno. |u3 |vr |i(year) |j (month) |wt

853 20|8 3 |av. |bno. |u4 |vr |i(year) |j (season) |wq |x24

863 42|82.1|a74 |b 1 |i2000 |j01

863 42|82.2 |a74 |b 2 |i2001 |j05

863 42|82.3 |a74 |b 3 |i2001 |j09

SCCTP Serial Holdings Workshop June 2002

World Literature Answer Continued

863 41 |83.1 |a75 |b1 |i 2001 |j 24
863 41 |83.2 |a75 |b2 |i 2001 |j 21
863 41 |83.3 |a75 |b3 |i 2001 |j 22
863 41 |83.4 |a75 |b4 |i 2001 |j 23
Holding display: Long University, Literature Building Z1007 .B711
v.51-(1997-) Some gaps
v.75:no.1(2001:winter) v.75:no.2(2001:spring)
v.75:no.3(2001:summer) v.75:no.4(2001:fall)

Summary

- *Textual holdings are often used for retrospective holdings.*
- *Captions and enumeration/chronology are input together.*
- *No manipulation by computer is possible.*
- *Depending on link number used, fields can*
  - *display between coded holdings*
  - *replace display of coded holdings with same link no.*
  - *display as sole holdings (link no. 0)*

Session 6 Exercise

You have a long run of the quarterly *History.* Your library location code is 234560. Your library is classed in LC, and this title has the call number D1.H5. You have v.1-50, 1901-1951, with a few missing issues; an index to those volumes. Then you have v. 51, no. 1-3 (Mar, May, July 1952) bound as a piece, and v. 52, no. 1 (Mar. 1953). Publication was suspended until volume 53 no. 1 in March 1954. The title became semiannual. You have further v. 53-59 complete (Mar. 1954-Nov. 1960). The title ceased at that point.

We will give you the 853s. Fill in the 852 information. Code the first 50 volumes and their index as textual holdings only. Code the decade of volumes between 1951 and 1960 as coded holdings, but suppress them in favor of a textual display. Use all appropriate subfields.

852 _ _ $b _____ $h _____ $i _____
853 20 $8 2 $a v. $b no. $u 4 $v r $i (year) $j (month) $w q $x 03
853 20 $8 3 $a v. $b no. $u 2 $v r $i (year) $j (month) $w f $x 03
866 __ $8 $a
86_ __ $8 $a
86_ __ $8 $a
86_ __ $8 $a
86_ __ $8 $a
86_ __ $8 $a

Holdings Session 7 -- Special Problems

How do we deal with…

captions not ending in a period?
supplements and indexes?
ordinal numbers?
numbers without captions?
dates with internal numbering?
symbols, hyphens, coding challenges?
"new series" designations?
alphabetic enumeration?
alternative enumeration and chronology?
what's your worst nightmare?

1

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Holdings Session 7 -- Recording Complex Holdings

Contents

Warm Up Exercises

Ask attendees to talk about the "problem holdings" that have been most bothersome in their local libraries. If any of the topics that arise are not covered here, note them down for possible later discussion or research.

Captions not ending in a period

Preliminary note!

Año 1 looks a lot better than **Año1** !

This is a small problem that simply needs to be provided for in a system that uses NISO-style display.

Programmers must tell the system to add a space at the end of any caption that lacks a final period. See Z39.71-1999, Section 5.5.4.2., caption examples. Having this programmed in will save lots of work!

2

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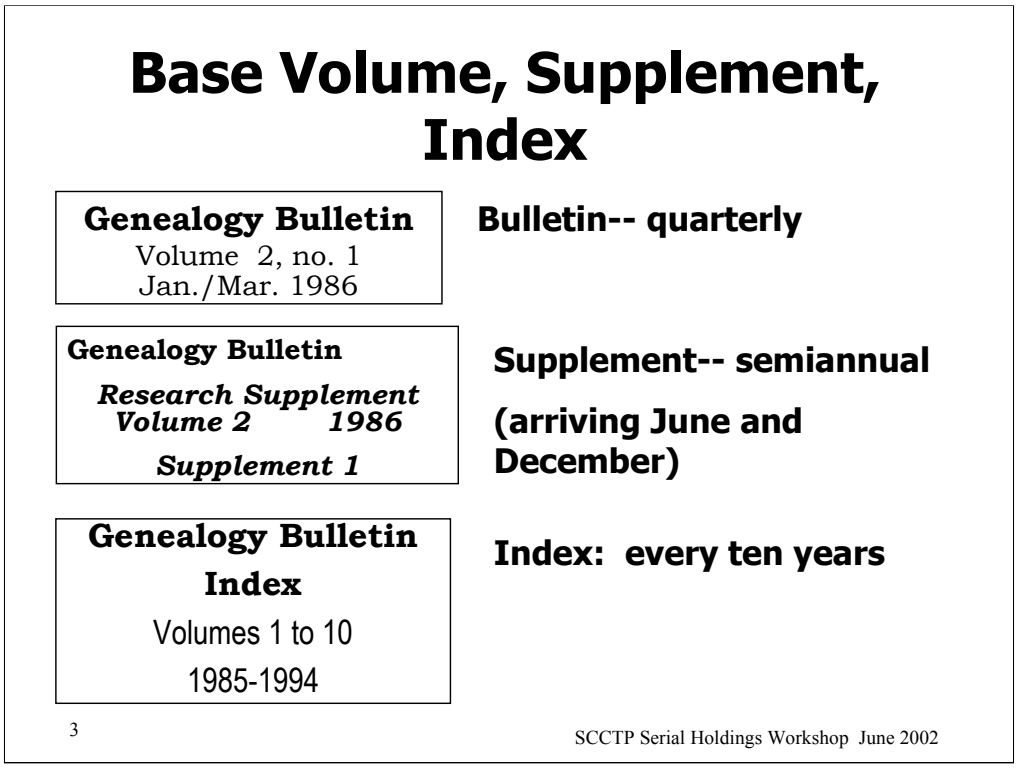
<Instructors: This above is just a cautionary note.>



A. Base volumes, supplements, and indexes

We have covered the separate tags for base volumes, supplements, and indexes. Now we will look at them in operation.

1. In this title (Genealogy bulletin),

•there are base volumes made of quarterly issues,

•Each volume has two semiannual numbered supplements

•An index covers ten volumes.

Supplement Holding

Genealogy Bulletin
Research Supplement
Volume 2 1986
Supplement 1 June

Semiannual

Designation:
v.:suppl.(year:month)

Entering the holding for a single supplement:

854 20 $8 1 $a v. $b suppl. $o Research Supplement $u 2 $v r $i (year) $j (month) $w f $x 06

864 41 $8 1.1 $a 2 $b 1 $i 1986 $j 06

May display as:

Research Supplement:
v.2:suppl.1(1986:June)

4

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<Animated slide>

2. Holdings statements for supplements. (854/864)

- This designation has two levels of enumeration and one level of chronology. The supplement is numbered and the volume it supplements is also numbered.
- Note subfield $o, Type of supplement.
- Indicators are 41, indicating Level 4, fully uncompressed holdings.

Supplement Summary

Genealogy Bulletin
Research Supplement
Volume 2 1986
Supplement 1 June

Semiannual

If we have holdings from v.1, supplement 1, 1985 to v.5, supplement 1, 1989…

854 20 $8 1 $a v. $b suppl. $o Research Supplement $u 2 $v r $i (year) $j (month) $w f $x 06
864 40 $8 1.1 $a 1-4 $i 1985-1988
864 41 $8 1.2 $a 5 $b 1 $i 1989 $j 06

May display as:

Research Supplement**:**
v.1-4(1985-1988) v.5:suppl.1(1989: June)

5
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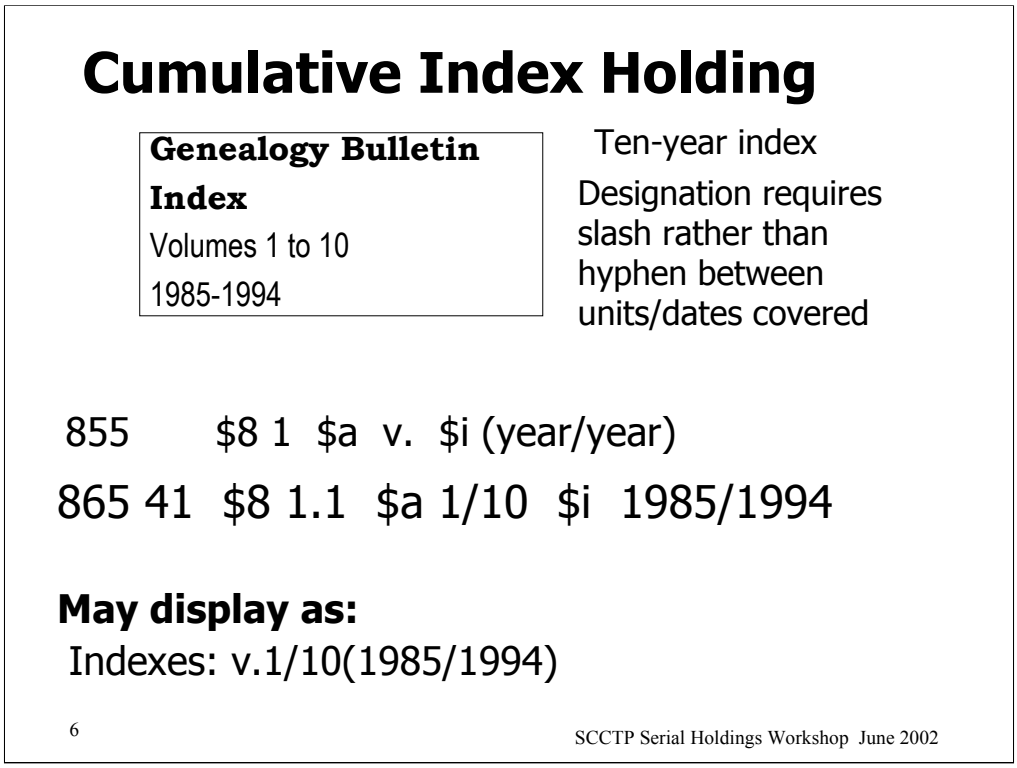
<Animated slide>

2. Supplements. (854/864 continued)

- The 854 retains the two levels of enumeration ($a and $b).
- But in the 864, the supplement numbers are dropped, leaving just the volume.
- Gaps are not detailed, but merely expressed in a general note.
- Indicators are 40, indicating Level 4 holdings, compressed, and 41, Level 4, uncompressed.
- Online system is displaying the captions only for the highest level. Though captions for lower levels are present in the coding, they are not displayed because there is no enumeration data to go with them.



<Animated slide>

3. Index

•The index is a single piece containing an index to the parts given. Index holdings cannot be summarized in the regular holdings field--only in Textual Holdings fields.

•No indicators in the 855.

•A slash rather than a dash separates both the enumeration and the chronology of the first and last volume indexed. This is the NISO standard's way of indicating one bibliographic unit or any combined numbering.

•Indicators of the 865 are 41, marking a detailed, uncompressed holding. The only valid second indicator for the 865 is 1 or 3.

Captions for supplements & indexes

Note: It is allowable to use

Suppl. to v. and

Index to v. as captions for clarity.

However, it is preferable that the system clearly show that the holdings are for indexes or supplements through interpretation of the coding.

7 SCCTP Serial Holdings Workshop June 2002

Though not documented in MFHD, captions like this have been used in many libraries. There is no reason why they should cause a problem, though the online system which has implemented MFHD would ordinarily display the words "Indexes" or "Supplements" so that specific captions would not be necessary.

Combined holdings...

853 20 $8 1 $a v. $b no. $u 4 $v r $i (year) $j (month/month) $w q $x 01

863 40 $8 1.1 $a 2- $i 1986-

854 20 $8 1 $a v. $b suppl. $o Research Supplement $u 2 $v r $i (year) $j (month) $w 2 $x 06

864 40 $8 1.1 $a 1-4 $i 1985-1988

864 41 $8 1.2 $a 5 $b 1 $i 1989 $06

855 $8 1 $a v. $i (year/year)

865 41 $8 1.1 $a 1/10 $i 1985/1994

8

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<Animated slide>

Combined holdings

This MARC display is for holdings of

– base volumes,

–supplements,

–and indexes.

This process assumes that all of the accompanying items are cataloged on the main record. Supplements and indexes cataloged separately will have their basic units coded in the 853/863, rather than 854/864 and 855/865.

Special note:

•Some systems can repeat sequence numbers as long as the tags are different.

•Others require an incremented sequence number even when the tags are different; i.e., the 863s above would be numbered 1.1, 1.2, and 1.3.

<Is this a better system? The author believes so, since it makes for a clearer record that is easier to sequence.>

Combined OPAC display (if cataloged together)

v.2-(1986-)

Supplements: Research Supplement:

v.1-4(1985-1988) v.5:suppl.1 (1989:June)

Indexes: v.1/10(1985/1994)

9

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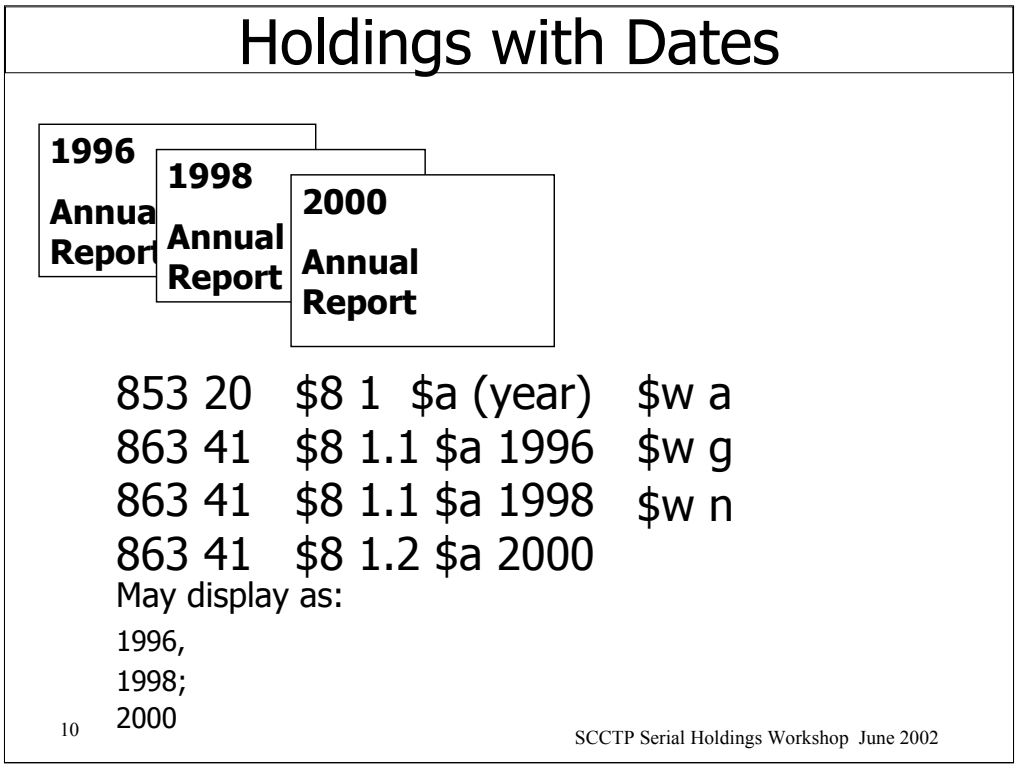
Combined OPAC display

This screen shows how the previous holdings might display to the public.



<Animated slide>

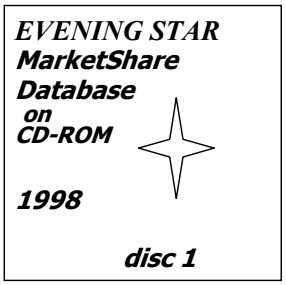
B. Dates as enumeration

•As stated in Session 4, dates may be used in enumeration subfields when there is no enumeration on the item.

Dates with divisions: Non-chronological

853 20 $8 1 $a (year) $b disc $u 2 $v r $w a
863 41 $8 1.1 $a 1998 $b 1
863 41 $8 1.2 $a 1998 $b 2
863 41 $8 1.3 $a 1999 $b 1
863 41 $8 1.4 $a 1999 $b 2

may display as…
1998:disc 1
1998:disc 2
1999:disc 1
1999:disc 2



11

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<Animated slide>

C. Dates as primary enumeration with a second level of regular numbers (CD-ROM example)

•Some nonprint formats are especially likely to have a date as the primary division, with secondary divisions which are not chronological.

•This example is a CD-ROM serial..

•There is a second-level division (here, disc) which is not chronological.

Dates with both kinds of division

853 20 $8 1 $a (year) $b no. $u 4 $v r $i (year) $j (season) $w q $x 21

863 41 $8 1.1 $a 1999 $b 1 $i 1999 $j 21

may display as:

1999:no. 1(1999:spring)

(The year is repeated. When the statement is compressed, the chronology is dropped.)

12

SCCTP Serial Holdings Workshop June 2002

<Animated slide>

Dates as primary enumeration with internal divisions that are both chronological and non-chronological

• If the primary division is chronological (by year), but the internal divisions have both a number and a date designation, the year is repeated on both the enumeration side and the chronological side.

•When the statement is compressed, the entire chronology can be dropped, and the holdings statement for a complete volume will consist of the year only. For an incomplete year, the year and number will be given.

Holdings with successive series numbering

- Some serials, especially scholarly and society publications, come out in several successive series (new ser., ser.3, ser.4…)
- Combine the series designation with the next hierarchical unit designation in a single subfield. A colon (:) joins the two designations:

853 00 $8 1 $a n.F.:Bd. $i (year)
$w a
863 41 $8 1.1 $a 4 $i 1882

May display as:
n.F.:Bd.4(1882)

13

SCCTP Serial Holdings Workshop June 2002

D. Series designations

•Series designations are common within numbering schemes, particularly those for scholarly and society publications from abroad; many are nineteenth-century or earlier publications.

•This is a German designation and its MFHD-coded equivalent.

–Note the combination of the series designation with the volume designation.: n.F.:Bd. Because they represent two hierarchical levels, a colon separates them.

–Also note the change from Roman numeral to Arabic, and the fact that Roman numeral IV. is an ordinal number but is not transcribed as such in the record. (Roman numerals will be discussed shortly.)

–<The next slide takes up ordinal numbers.>

Ordinal numbers

Often, we transcribe "4. Band" and "1. año" as a volume + cardinal number, rather than as an ordinal number + volume:

Bd. 4

Año 1.

- We can do this because this other syntax is also acceptable in the languages involved. We have no choice when we combine designations like n.F.:Bd.
- However, there is a special provision that can be used in most cases where an ordinal number and a reversal of the usual syntax is preferred ...

14

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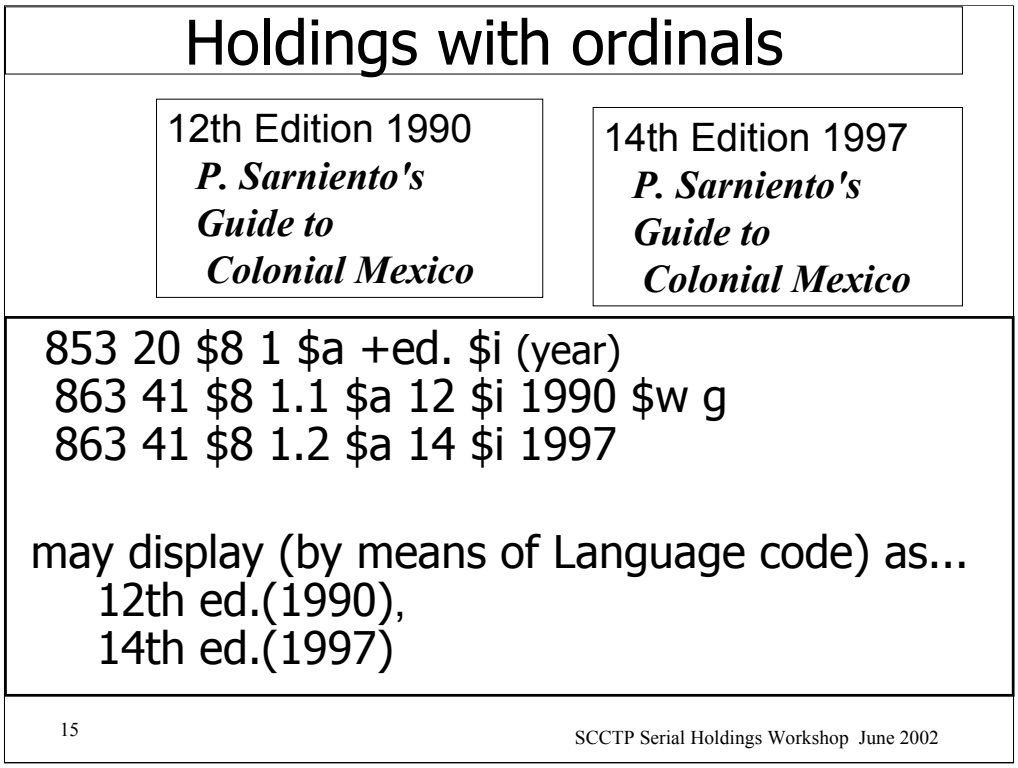
E. Ordinal Numbers

•If we combine designations, we really have to use the syntax n.F.:Bd.4, rather than n.F.:4.Bd., which is on the piece. Usually both word orders are acceptable.

•In most cases, we can use the special provisions for ordinal numbers so that we can transcribe the numbering as we find it.



<Animated slide>

Ordinal numbers, cont'd.

•The screen shows how to code the holding of an edition with a reversal of the usual syntax and an ordinal number. (This is an irregular, so there is no pattern.)

•In order to change the form of the number and its position, insert a *plus sign* before the caption in the 85X.

•With programming, the online system uses the ordinal form of the number and changes its position to preceding the caption. The language code determines the form of the ordinal: whether, e.g., 1st, or 1.

•This slide also shows

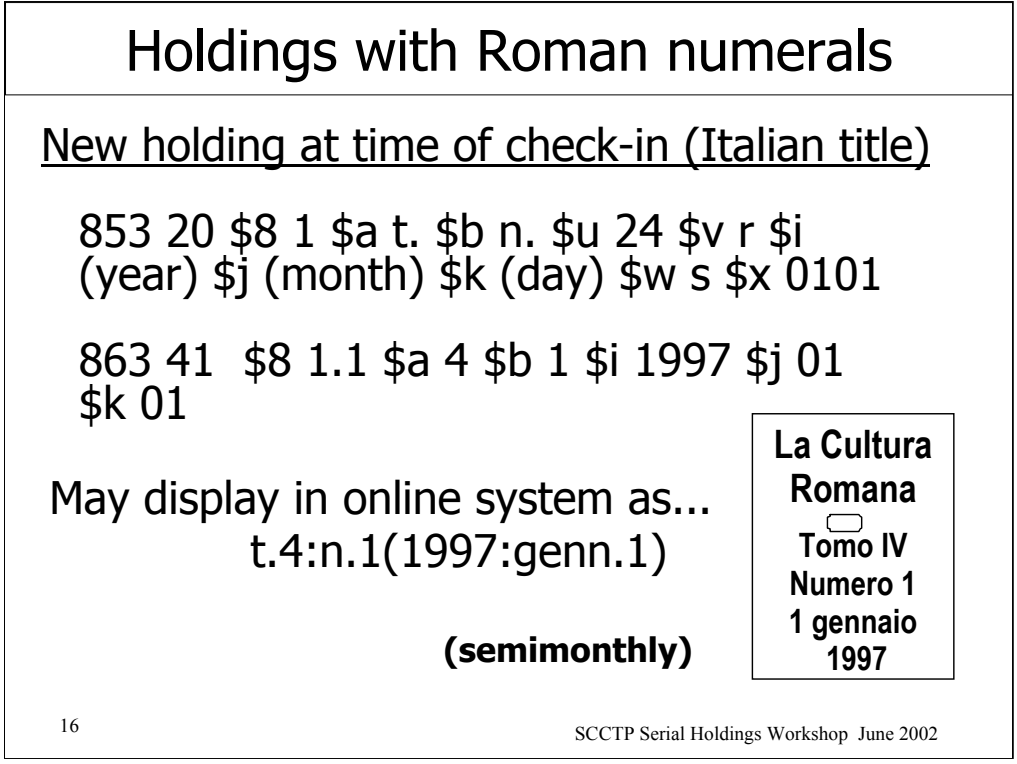
F. Gaps

•In order to show a **break** (displayed in the OPAC as a punctuation mark), insert a subfield $w in the 86X:

–value *g* for **gap** (displaying as a comma),

– *n* for **non-gap break** or "issue(s) not published" (displaying as a semicolon).

• It's even allowable to code gap and non-gap breaks together if that's the situation! i.e., with multiple subfields $w generating both commas and semicolons.



G. Roman numerals (and other issues)

<Animated slide.. >

We saw this slide before in Session 4. Here it is again to illustrate some more common problems.

•Roman numerals should be changed to Arabic according to the NISO display standards. This issue is under examination. (Individual systems may allow either input or output (i.e., display) in Roman numerals and use a translation table to effect the translation.)

•The online system has translated the 863 $j from a numeric value 01 (numeric values are necessary for prediction), into the Italian abbreviation for January. There is a third level of chronology, "day", in this statement, which is also translated from 01 to 1 in display.

•No colon displays between the month and the day according to the NISO standard.

•NISO standard does not render foreign chronology according to vernacular rules (1 gennaio becomes genn.1.)

Captionless enumeration

Many serials have enumeration alone, with no caption.

Though MFHD allows captions to be invented and placed in brackets, NISO forbids this practice. One way around this: Add ([unit]) within both brackets and parentheses.

Or use Harvard's convention: (*) --also non-displaying.

853 00 $8 1 $a (*) $i (year)

863 41 $8 1.1 $a 1 $i 1976

may display as: 1 (1976)

17

SCCTP Serial Holdings Workshop June 2002

<Animated slide>

H. Captionless enumeration

•MFHD is "out of step" with NISO Z39.71, in that the Format allows you to invent a caption and put it in brackets, but the display standard does not.

•Two methods for using a placeholder caption:

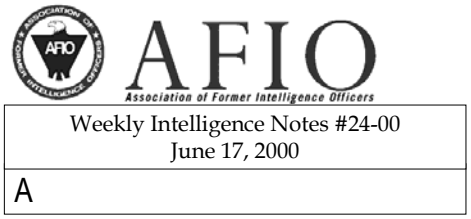
–Place the word "unit" inside brackets and then put the whole inside parentheses. This follows MFHD while compatible with NISO instructions to avoid displaying a caption not on the item.

–Place an asterisk inside parentheses (Harvard's convention).

(This is another irregular with no pattern.)

Symbols, hyphens, coding challenges

- NISO standards prescribe hyphens as connectors within holdings statements.
- Some serials, notably government publications and related items, have symbols as captions, internal hyphens, and other coding challenges. Most of the time, these can be input as given.



853 20 $8 1 $a # $i (year) $j (month) $k (day) $w w $x 0107

863 41 $8 1.1 $a 24-00 $i 2000 $j 06 $k 17

May display as: #24-00 (2000:June 17)

18

SCCTP Serial Holdings Workshop June 2002

I. Enumerations with symbols as captions, internal hyphens

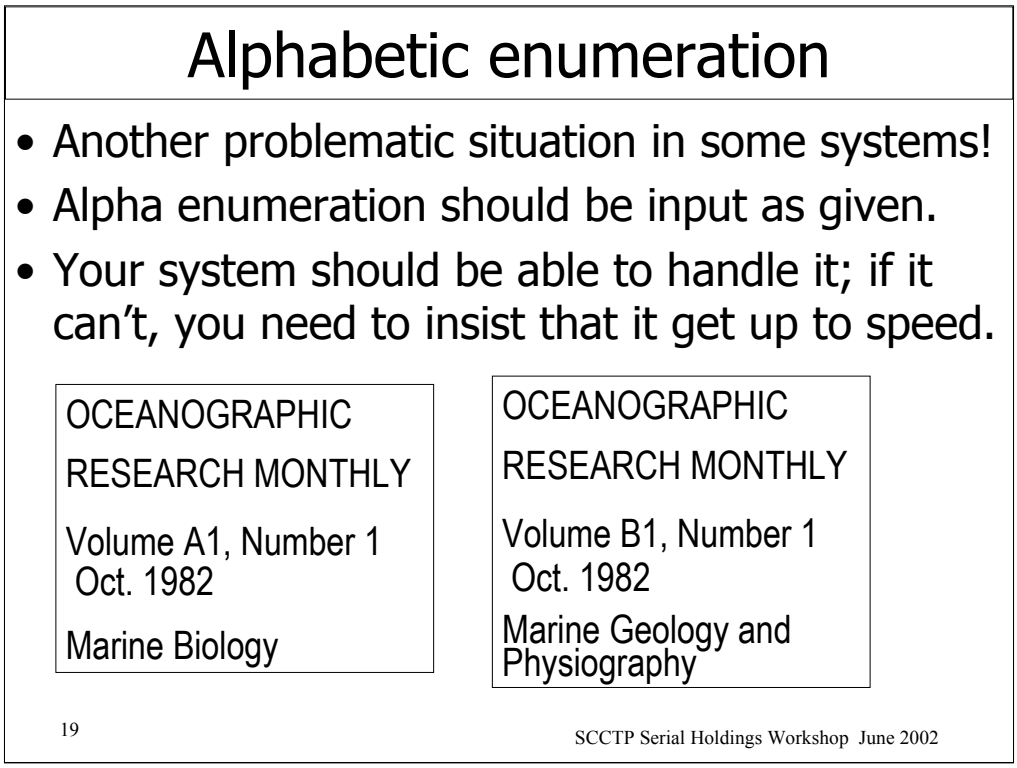
•Sometimes the "caption" is not a word but a symbol. One common symbol is the number sign, #. It is allowable as contents of a caption subfield.

•NISO standards prescribe the hyphen as a connector between the beginning of a summary statement and the end of a statement.

• But hyphens are also found as part of printed enumerations.

•Input this enumeration as given, but try to make the context clear (it should not be possible to confuse it with a summary).

•Note: This is one of the many cases where a summary statement could not be given in coded fields, because it would be ambiguous. It would have to be given in textual holdings fields (perhaps with explanatory notes). Ideally, MFHD and NISO would have reserved punctuation such as hyphens to prevent ambiguity.



J. Alphabetic enumeration

<The instructor might ask the attendees to do this 853/ 863 enumeration orally, in order to build confidence for the coming exercise.>

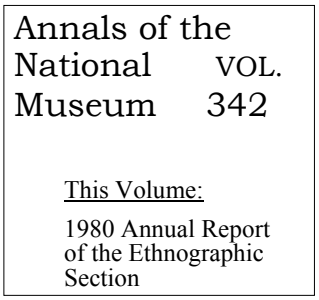
Alternative enumeration

- Some kinds of publications have two numeric systems.
  - It is not always necessary to record both. If both systems are important, use the prescribed alternative enumeration subfields, $g-h, and (if necessary) chronology subfield, $m.
  - Typical case: Serial within series.

I.e., Series (shelved together)
Serial (in scattered issues of series)

853 00 $8 1 $a (year) $g v. $w a
863 41 $8 1.1 $a 1980 $g 342
863 41 $8 1.2 $a 1981 $g 345

May display as:
1980 = v.342
1981 = v.345



20

SCCTP Serial Holdings Workshop June 2002

K. Alternative enumeration..

•In special cases, as with monographic or other series, and some foreign scholarly or legal publications, there is more than one numeric system at work.

•Particularly where there is a broader and a narrower aspect to the publication, both systems may be important.

•Subfields $g and $h are for alternative enumeration.

•Subfield $m is for a single level of alternative chronology..

•The NISO display of the two systems together is with an equals sign to show the equivalency. Therefore, it is important that the two numbers cover the same unit of publication.

•True alternative numbering is also illustrated by an overall series which is divided into chronological series 1, series 2, series 3, etc. Each volume bears its number in both the larger and the smaller series.

Summary

- *There are provisions for less common situations in the MARC Format for Holdings Data.*
- *Some coding situations need clarification in MFHD, and many others need better implementations in our systems.*
- *This is an area where librarians, vendor representatives, standards experts, and system designers must open discussion with each other.*

SCCTP Serial Holdings Workshop June 2002

Exercises

SCCTP Serial Holdings Workshop June 2002 22

Answers—Exercise 1

863 **41$8 1.1 $a 4 $b 1 $i 2001 $j 02/04**

863 **41$8 1.2 $a 4 $b 2 $i 2001 $j 05/07**

863 **41 $8 1.3 $a 4 $b 3 $i 2001 $j 08/10**

863 **41 $8 1.4 $a 4 $b 4 $i 2001 $j 11/01**

To alter 4th statement: (more than one way)

a. Change $i to $i 2001/2002

b. Include entire chronology in subfield $l:

$i 2001:11/2002:01

c. Use natural language chronology:

$i 2001:Nov./2002:Jan.

Answers—Exercise 2

863 41 **$8 1.1 $a 1 $b 1 $i 2002 $j 23**

863 41 **$8 1.2 $a 1 $b 2 $i 2002 $j 24**

863 41 **$8 1.3 $a 1 $b 3 $i 2003 $j 21**

865 41 **$8 1.1 $a 2002/2003**

[Note that the link and even sequence number can be reused for base volumes, supplements, and indexes.]

SCCTP Serial Holdings Workshop June 2002

Answers—Exercise 3

863 40 $8 1.1 $a 4 $b 1-3 $i 2002 $j 01-03

Answers—Exercise 4

863 40 **$8 1.1 $a 10 $i 2000/2001**

863 41 $8 1.2 $a 11 $b 1 $i 2001 $j 09

Display: v. 10(2000/2001)

v. 11:1st semester(2001:Sept.)

SCCTP Serial Holdings Workshop June 2002

Answers—Exercise 5

863 43 $8 **1.1 $a 20 $i 2000**

863 43 $8 **1.2 $a 21 $i 2001**

863 43 $8 **1.3 $a 22 $i 2002**

866 41 $8 **1 $a 20-22(2000-2002)**

SCCTP Serial Holdings Workshop June 2002

Answers—Exercise 6

863 40 $8 1.1 $a 1-80 $g 142-222 $i 1884-1957

Display: new ser.:no.1-80=no.142-222(1884-1957)

Session 7: Basic Exercise
Recording Holdings

Complete 86x fields to record holdings for each example. Use your *Handbook.*
Publication pattern is provided for you.
Code indicators for 86X as directed.
Use all necessary subfield codes.
Remember to code $8.
Where directed, write how the holding will display. Use NISO conventions (you will find examples on the slides).

1) **Spanned chronology**: When the chronology includes more than one year or more than one month or one day, some systems may have trouble predicting correctly. In some instances, the system supports spanned months only in certain increments, e.g., Jan.-Mar, Apr.-June, July-Sept., Oct.-Dec. For a periodical with one of its issues bridging two years, you may be able to predict for the first year, but after the "bridge" issue arrives, you will need to alter the holdings manually by typing in the last year, e.g., 2000/2001.

   Scenario: You are recording holdings for a quarterly serial that uses the following spans:
   Vol. 4, no. 1 (Feb./Apr. 2001)
   Vol. 4, no. 2 (May/July 2001)
   Vol. 4, no. 3 (Aug./Oct. 2001)
   Vol. 4, no. 4 (Nov. 2001/Jan. 2002)

   Publication pattern:
   853 20 $8 1 $a **v.** $b **no.** $u **4** $v **r** $i **(year)** $j **(month/month)** $w **q** $x **02 $y pm02/04,05/07,08/10,11/01**

   Code the issues (as they would be generated by the system); code the second indicator of the 86x for uncompressed (itemized holdings). What could you do to make the last issue display correctly?

   86_ 4_ $8
   86_ 4_ $8
   86_ 4_ $8
   86_ 4_ $8

2) **Three times a year with seasons**: Record holdings fields for these basic issues of a serial that publishes three times a year in Autumn, Winter, Spring. There is no Summer issue.
   Vol. 1, issue 1 (Autumn 2002)
   Vol. 1, issue 2 (Winter 2002)
   Vol. 1, issue 3 (Spring 2003)

Also record a holding for the index designated: 2002/2003.

For both the serial issues and the index, code the second indicator of the 86x for uncompressed (itemized holdings), set to display.

Publication pattern, Serial:
853 20 $8 1 $a **v.** $b **issue** $u **3** $v **r** $i **(year)** $j **(season)** $w **t** $x **23** $y **os22**

Publication pattern, Index:
855 ⱡⱡ $8 1 $a **(year/year)** $w **a**
[Note: the double year is not absolutely necessary, but may be helpful as a reminder of how the holding should look. Doubling can be used only with non-displaying captions.]

86_ 4_ $8
86_ 4_ $8
86_ 4_ $8
86_ 4_ $8

3) Static series designation: Record a holdings field for these basic issues of a serial that publishes monthly and uses the static series designation of **Series 3**.

Ser. 3 vol. 4, release 1 (January 2002)
Ser. 3 vol. 4, release 2 (February 2002)
Ser. 3 vol. 4, release 3 (March 2002)

Code the second indicator of the 86x for compressed holdings, set to display.
Write how this compressed holding would display to the public.

Publication pattern:
853 20 $8 1 $a **ser. 3:v.** $b **release** $u **12** $v **r** $i **(year)** $j **(month)** $w **m** $x **01**
[Note: "Series 3" is incorporated as part of the first level of enumeration in $a of the 853 publication pattern field.]

86_ 4_ $8

Display:

4) Serials with ordinal enumeration: Record holdings fields for this English-language academic serial that comes out in annual volumes with an issue each semester.
Vol. 10, 1st semester September 2000
Vol. 10, 2nd semester January 2001
Vol. 11, 1st semester September 2001

Compress volume 10. Itemize the first semester of volume 11. Write how this should

display to the public.

Publication pattern:
853 20 $8 1 $a **v** $b +**semester** $u **2** $v **r** $i **(year)** $j **(month)** $w **2** $x **09** $y **pm09,01**
[Note: This is not strictly semiannual.]

86_ 4_ $8
86_ 4_ $8

Display:

5) **Publications lacking captions**: Some enumerations are not preceded by a caption. We use the convention of **(*)** to indicate that no caption is present for this part of the enumeration. The example used for this exercise is an annual with number and year.

20 // 2000
21 // 2001
22 // 2002

Code the second indicator of the three 86x for uncompressed, use textual display. Give a textual holding that would correspond to this range.
(Be sure to check the *Handbook* for the meaning of the indicators in the textual field.)

Publication pattern:
853 20 $8 1 $a **(*)** $i (year) $w **a**

86_ 4_ $8
86_ 4_ $8
86_ 4_ $8
86_ __ $8

6) **Publications with alternative numbering.** Code the holdings for a title that has both a new series designation and a whole series designation. This series is now complete. Since it was all received years ago, no publication pattern was entered.

853 00 $8 1 $a **new ser.:no.** $g **no**. $i **(year)**

The volumes have two numbering systems: no. 1 1884 (no. 142 of entire series) to no. 80 1957 (no. 222 of entire series). Code this numbering in compressed format. Write how it should display to the public. [Note: Though this could be coded in a textual holding, it is perfectly legitimate to use a coded holding for it.]

86_ 4_ $8

Display:

Holdings Session 8
Trends & Issues in MARC 21 Holdings

- *CONSER Publication Patterns Initiative*
- *Universal holdings*
- *Current issues with MARC 21 Holdings*
- *What is "compliance" with MARC 21 Holdings?*
- *Features to look for when shopping for a system*
- *MARC 21 Holdings format problems & changes*
- *Other?*

1

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Holdings Session 8: Trends & Issues in MARC 21 Holdings

Contents

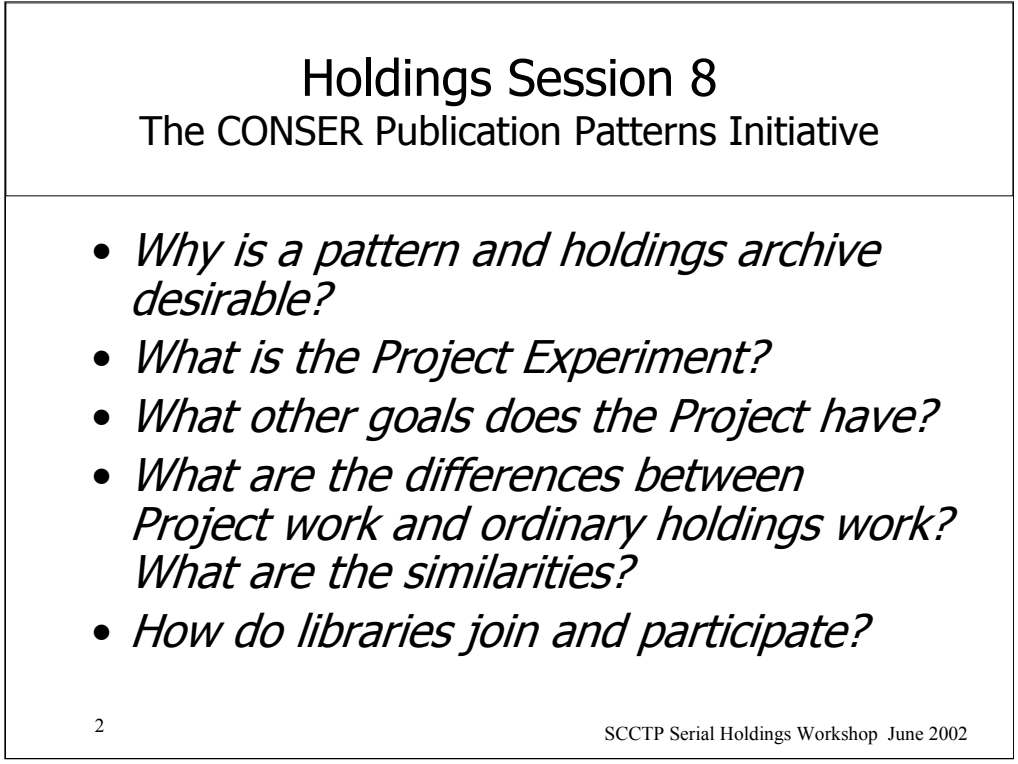
CONSER project: a shared pattern archive

Universal holdings: emergence of the universal holdings concept. What is universal holdings? How does this differ from local holdings?

Current issues: interfaces, relationship to bibliographic data, relationship to item data, etc.

Compliance: LITA and the MARC Formats Interest Group (MFIG) grappling to develop a definition of systems compliance.

Problems & Changes: What can the format currently not handle? What changes are happening to the format right now?



Holdings Session 8: The CONSER Publication Patterns and Holdings Project

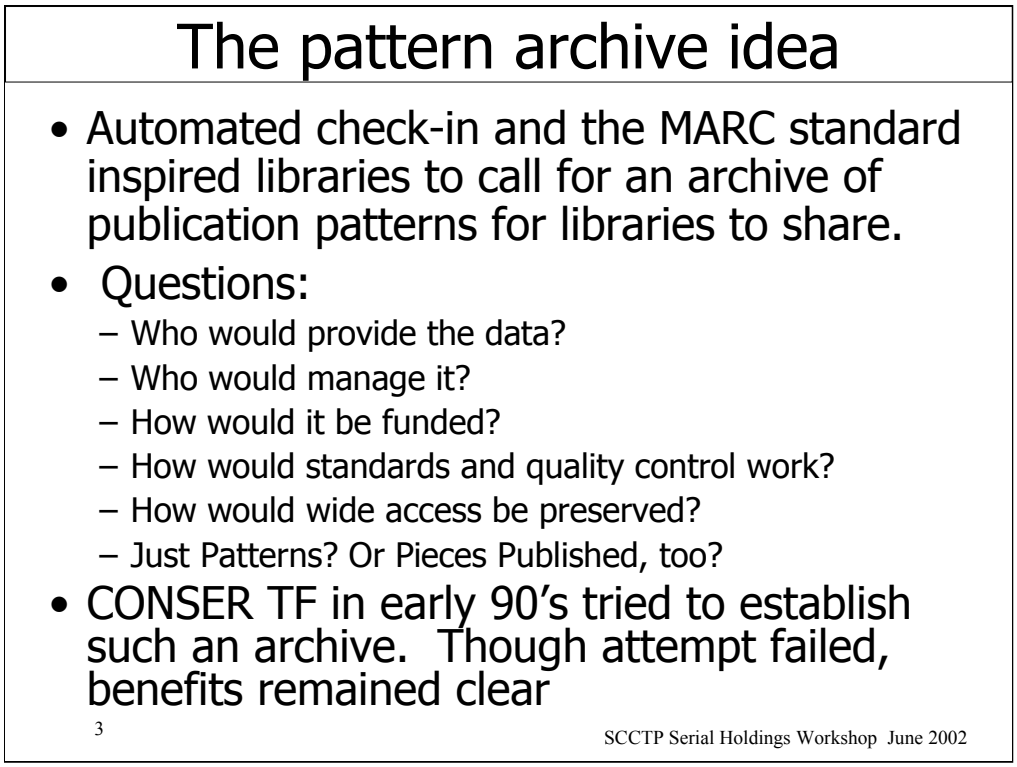
Contents

References

The trainer may wish to review the description of the Project on the CONSER web site, http://lcweb.loc.gov/acq/conser/patthold.html, particularly the "Frequently Asked Questions" and "Guidelines for Input."

Warm Up Exercises

Ask the audience to tell you about their own libraries' process of pattern creation and sources of pattern data, and then to comment on the idea of having the current pattern available along with the bibliographic record. What use could libraries make of this information?



The Pattern Archive Idea and its Benefits

Automated check-in starts with a *publication pattern,,*which resides in the online serials control system and is used to predict the arrival of the next issue and what that issue's numbering will be.

Especially with the standardization provided by the MARC Format for Holdings, automated check-in brought the possibility of sharing patterns among libraries, which otherwise would have to create each pattern separately. Several articles explored the possibilities but also raised questions.

In fact, a CONSER project was launched in the early 90s to establish an archive of patterns only, not tied to specific journal titles.

The main reason this limited project lapsed was the still sparse use of the USMARC Format for Holdings Data.

However, the benefits of sharing patterns remained clear to libraries seeking to automate their serials management processes.

Benefits for libraries

- Patterns
  - create once, use multiple times
  - communicate seamlessly between systems
  - enable prediction locally
  - accurate pattern for display and compression/expansion
- Holdings
  - determine what has been published
  - most need for the data on first issue
    - › pinpoint when pattern began
    - › ensure coordination of pattern and holdings

4 SCCTP Serial Holdings Workshop June 2002

The benefits applied to both **patterns** and **holdings.**

For **patterns:**

- you can create once, and use multiple times
- you can communicate holdings data seamlessly between systems
- patterns enable prediction in a local system
- once acquired, the library has an accurate pattern for display and compression/expansion of the OPAC holding

For **holdings:**

- you can determine what has been published
- libraries have most need for the data on first issue
  - –pinpoint when pattern began
  - –ensure coordination of changes in pattern with the library's actual holdings

Benefits for serials community

- Make data compatible across all systems
- Division of labor of pattern creation
- Widest possible access to information

These became goals of the <u>new</u>

CONSER Publication Pattern Initiative!

5

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For the serials community as a whole, the benefits of sharing pattern data were:
•making data compatible across all online library systems
•division of the labor of pattern creation
•ensuring the widest possible access to information.

These became the goals of the <u>new</u> CONSER project.

OCLC & the CONSER database

- MARC-based holdings can be embedded in bibliographic records
- OCLC, which hosts the CONSER database, offered to define holdings format field 891 for embedding regular holdings fields
  - Widely used database favors sharing
  - With minimal programming, automated transfer of data between local system and utility, and back again
  - Limited record size dictates limitation to current data only

6 SCCTP Serial Holdings Workshop June 2002

The New CONSER Publication Patterns and Holdings Project

CONSER in 1999 undertook a new project to add both patterns and holdings to the CONSER database.

One of the options for holdings fields, in the Format, is to embed them inside bibliographic records--and that is the mode in the new Project.

The CONSER database is hosted by OCLC; so early on, OCLC was asked to be a participant in the Task Force. Other participants included interested librarians, representatives of library system s, serials jobbers, bibliographic utilities, and standards committees.

Though OCLC was already using the regular holdings fields for another purpose, they offered to define a new local field 891 for embedding regular holdings fields. Use of OCLC had other benefits and a single drawback:

It was a widely used database for sharing

• With minimal programming, a system could achieve automated transfer of data between a local database and the utility, and back again

•*However:*

• OCLC's limited record size was a constraint on adding full holdings, so the project envisioned limitation to current data only.

Standard : MARC Format for Holdings Data

Use of MFHD in view of current rapid adoption by libraries, systems

- to give libraries practice in using the format
- to improve the format
- to discuss and promote better implementations in systems

7

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The current rapid spread of the MARC Format for Holdings Data in libraries and library systems gave the Task Force the opportunity to adopt it as the Project standard:

•to give libraries practice in using the format,

–to help improve the format

–to discuss and promote better implementations in systems

–to provide libraries with documentation and full understanding of the MARC Holdings format, thus ensuring fuller use and testing of existing functionality.

The CONSER experiment

- Documentation on the CONSER Web Site
- Began June 1, 2000
- Libraries replace records in OCLC to add pairs of 891 fields
  - Field 1 --*captions and pattern* (i.e., the parts and how they are issued)
  - Field 2-- *enumeration and chronology* data for the first issue in that pattern
- Data available for cut & paste or other ways of importing into local systems

8 SCCTP Serial Holdings Workshop June 2002

The Experiment

The kernel of the Publication Patterns and Holdings Project was the CONSER Experiment. Documentation was written and posted to the CONSER web site, including a FAQ and editing guidelines for the project.

A small, but growing, number of participating libraries began to enter data into actual records on June 1, 2000.

The libraries in the project use CONSER Enhance authorizations to add data to records. This data consists of paired fields both tagged 891:

— Field 1 contains the *captions and pattern* (i.e., the parts and how they are issued)

— Field 2 contains the *enumeration and chronology* data for the first issue in that pattern

When other libraries use the record, the holdings pattern and first issue data are available for import into a local serials control system or OPAC.

The first pattern entered!

Heart failure reviews (OCLC #35601086)

‹ 891 30 $9 853 $8 1 $a v. $b no. $u 4 $v r $i (year) $j (month) $w q $x 03

‹ 891 41 $9 863 $8 1.1 $a <5> $b <1> $i <2000> $j <03>

Input by: University of Cincinnati Health Sciences Libraries

9

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This is a picture of the first pair of 891 fields added to a record; note the record title (Heart failure reviews) and the OCLC control number. This record was edited by the University of Cincinnati Health Sciences Libraries.

As we have learned, 891 fields are input to carry the data. The first 891 fields carry the captions and pattern; the second carry the enumeration and chronology of the first issue available. The inputter's lack of certainty that the issue given was really the first issue in the pattern is indicated in the usual CONSER manner, by the use of angle brackets.

[Trainers: It would be a good idea to refresh memories here by allowing the audience to help you explicate the pattern, which is a very simple quarterly beginning in March of the year.]

Follow-up note: VTLS and ExLibris both reported that they were able to import this holdings data from OCLC into their MFHD-based serials control systems! Innovative Interfaces has since developed a loader for the data.

How members participate

- Most use a macro designed by Robert Bremer (OCLC) which creates 891 fields from the data in the bib. record
- Others may use cut and paste from local systems
- Feb. 2001: Load of Harvard MFHD data (over 40,000 records)

10

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The Library of Congress is one of the participants in the Experiment. It will enter publication patterns and holdings in two ways:

- by manual coding directly into the tagged fields;
- by automated transfer of data from the Library's Voyager system.

Other participants will use various methods of entering the data.

One of the earliest libraries to use the MARC Format for Holdings was Harvard University. Their database of 120,000 patterns in MFHD was used selectively to "seed" the OCLC serials database with over 40,000 current patterns.

Task Force activity beyond the CONSER Initiative

- Discussion on:
  - MFHD Format, Format documentation, implementations, holdings, data sharing, library needs assessment
- With participation of:
  - major bibliographic utilities
  - potential data providers such as Faxon and EBSCO
  - major library system vendors

11 SCCTP Serial Holdings Workshop June 2002

Beyond the Experiment

Beyond the CONSER Experiment, several tasks are being carried out by subgroups of the Task Force, with the object of :

•making the Format complete, accurate, and programmable;

•improving Format documentation;

•promoting better implementations in our systems;

•assessing the needs of libraries for functionality and convenience of use;

•assessing the needs for shared data.

Along with librarians, this discussion is being carried out with the participation of:

• the major bibliographic utilities;

• potential data providers, such as Faxon and EBSCO;

• most of the major library system vendors.

Some utilities plan to convert to the MFHD. OCLC has publicly committed to converting from their proprietary LDR (Local Data Record) holdings format to the MFHD in the next 3-5 years. At that time, the patterns embedded in the 891 *may* become part of a new, independent but linked holdings system.

The final form of OCLC's new holdings system, and how the patterns will be permanently stored, is not yet clear. OCLC is currently investigating all options.

For information on where other system vendors are with their MFHD implementation, check the vendor survey on the CONSER website:http://www.loc.gov/acq/conser/vendorsurvey.html

Documentation

On the CONSER Web Site:

- Task Force Charge
- The CONSER Experiment: Frequently Asked Questions
- Guidelines for Input of Captions/Patterns and Holdings Data

http://lcweb.loc.gov/acq/conser/patthold.html

12

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Contacts and Documentation

Documentation for the Project is on the CONSER Web Site:

http://lcweb.loc.gov/acq/conser/patthold.html

It includes:

– The Task Force charge

–The CONSER Experiment: Frequently Asked Questions

– Guidelines for Input of Captions/Patterns and Holdings Data, with examples

– Pattern Guide Table, pattern examples, and sample records with patterns

– OCLC's macro "PUBPAT.MBK" for instantaneous, automatic 891 creation

and several other features we'll talk about shortly.

How to participate:

Contact to apply or ask questions:

***Jean Hirons**, CONSER Coordinator*

jhir@loc.gov

13

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Any library interested in participating in the project or wanting to find out more about it, is invited to contact Jean Hirons, the CONSER Coordinator, at the Library of Congress.

Universal holdings

Some MFHD data elements are universal in nature – the information they convey applies to all libraries' holdings and not a particular library's holdings

Prime example:
Patterns of publication in the 853

14

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Universal holdings is a still-emerging concept. It has been slow to emerge because of the widespread perception among libraries that holdings is purely local.

The concept is an outgrowth of CONSER's publication patterns and holdings experiment.

Universal holdings

- CONSER Publication Patterns Task Force is currently defining universal holdings
- Definition to encompass two dimensions:
  - What is universal holdings? (what data elements)?
  - What can universal holdings do? (what functions will it support?)

15

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To repeat: the Universal Holdings concept is based on the fact that as they come from the publisher, the issues and volumes, and the pattern of their issuance, are the same, and they are part of the basic bibliographic information for the publication.

Universal holdings

Current definition of universal holdings is on the CONSER website:

http://lcweb.loc.gov/acq/conser/universalhold.html

16

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<Trainers:

Go to the CONSER website and pull up the current definition.

Six possible functions or uses of universal holdings are listed. Discuss these with the trainees. Are these functions they would like to have in their libraries?>

Current issues with MFHD

Interface:

Should it be MARC-tagged, labelled, or GUI (graphical user interface)? Or should the library staff have their choice?

Relationship to the Bibliographic Data:

Should the holdings data be embedded in the bibliographic record, or a separate holdings record linked to the bibliographic record?

17 SCCTP Serial Holdings Workshop June 2002

The MFHD is a currently-evolving standard. The library community is working on not only how the data elements will be defined, but also:

•how holdings data should work in relationship to other types of data (e.g. bib & item)

•how the MFHD standard should link to other standards (e.g. MARC 21 Bibliographic)

•how the holdings data should be applied within a library's local system

Current issues with MFHD

Relationship to the Item Data:

Should the item information be dependent or independent of the holdings record?

Form:

Should the holdings data be recorded as free-text or coded or a combination of the two?

Should the holdings data be recorded as summarized or itemized or a combination?

18

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Relationship to the item data:

There are now holdings fields and subfields (876-878) defined for item data, but there is very little talk about implementation. <Appendix 10 gives information about these fields.> Even without these fields, item records can be structured in such a way that they are dependent on the individual fields containing holdings—or not.

Form:

Coding (defining data elements) makes it possible to manipulate data in more ways.

Textual holdings are common for converted non-MARC holdings data and for retrospective data in general. Some systems still offer only the free-text fields.

Itemization or summarization? The choice is affected by both of the above issues. If holdings are coded, and also linked to their items, itemization is much more likely (especially if the collection is barcoded volume by volume). However, there may be tradeoffs in length of display, complexity, and ease of remote reporting or communication of holdings.

Current issues with MFHD

How Many Holdings Records:

If the library has multiple copies of the item, should it create one holdings record (for all copies), or multiple holdings records (one for each copy)?

If the library has multiple versions or formats of the item, should it create one holdings record (for all versions), or multiple holdings records for each version (one per format)?

19 SCCTP Serial Holdings Workshop June 2002

Though one holdings record per copy or format is the norm, there are two exceptions:

1. If all the other elements (e.g., location, call number), are the same, copies may be recorded together, using the copy subfield 86X $t.
2. If making an institutional report, it may be desirable to combine all holdings. (Distinguishing the formats is probably still desirable.)

   e.g. union lists; short reports to be inserted in local finding aids or commercial indexing services)

<Possible discussion points:

- What would a composite (multi-copy) report look like?

(and, particularly if there are technical folk in the audience):

- Could one be generated from separate holdings records?>

Current issues with MFHD

Electronic Items:

If the library has access to an electronic resource (e-journal, e-book, etc.), should it create a holdings record?

For all electronic items?
Or for locally-stored electronic items?
Or some other variation?

20 SCCTP Serial Holdings Workshop June 2002

Many possible variations here:

-Create holdings only for physical items stored in the library

-Create holdings for electronic items that are mounted on a local server

-Create holdings for ALL items (physical and electronic) (locally accessed and remotely accessed)

Other issues with MFHD? Poll the attendees and create a list on a flipchart.

What is "compliance" with MARC 21 holdings?

- Libraries seek to purchase systems that are fully compliant with MFHD, but compliance needs to be defined!
- Diane Hillmann and Ellen Rappoport were charged with providing a statement of compliance

21

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This is not a formal or absolute definition of compliance. It is, however, an excellent starting point for a discussion between libraries and system vendors as to how well or how completely a particular system has implemented the MFHD standard.

Current, working definition of compliance is listed on the CONSER website:

lcweb.loc.gov/acq/conser/MHLDdefinition.html

22

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Trainers: Bring up the website. Discuss with the trainees the three major concepts:

1. Import
2. Maintenance
3. Export

Is this definition too basic? Too broad? How should it be added to or modified?

Features to look for when shopping for a system

- Provide for all MFHD elements
- Import / export MFHD records
- Display MFHD codes on command or by default
- Sequence fields correctly for public display
- Enable user-composed macros
- Make data available to all processing
- Predict future issues
- Generate summary holdings
- Have extra functionality, e.g., reorder fields

These are specific questions a library can ask a vendor when trying to determine how well or how fully the vendor's system has implemented the MFHD. Again, this is just a starting point to a more detailed discussion.

What other features would or should libraries add to this list? Ask the trainees to talk about their desired features. Build a list on a flipchart.

MARC 21 format problems & changes

Standard does not yet account for all types of serial frequencies or patterns of publication.

As a pattern or frequency is identified, MARBI makes additions or modifications to the MFHD

24

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Again, the MFHD is a currently evolving standard that doesn't yet cover all types of serial frequencies or patterns of publication.

As a pattern or frequency is identified, the library community adds to or modifies the MARC 21 Holdings format to account for it an enable prediction.

Current problems under discussion:

Patterns at First Level of Enumeration:

Should the format allow recording a pattern at the first level of enumeration?

Multiple "Frequencies":

Issuing frequency (when it is expected) does not reflect the number of issues (how many are expected)

25 SCCTP Serial Holdings Workshop June 2002

Patterns at first level:

This would resolve the problem when numbering must restart, and the year is recorded in $a

Multiple frequencies:

For example, 12 issues are published per year, but are published 6 issues at a time 6 months apart:

Vol. 12 no. 1 Jan. 2002
Vol. 12 no. 2 Jan. 2002
Vol. 12 no. 3 Jan. 2002
Vol. 12 no. 4 Jan. 2002
Vol. 12 no. 5 Jan. 2002
Vol. 12 no. 6 June 2002
Vol. 12 no. 7 June 2002
Vol. 12 no. 8 June 2002
Vol. 12 no. 9 June 2002
Vol. 12 no. 10 June 2002
Vol. 12 no. 11 June 2002
Vol. 12 no. 12 June 2002

Current problems under discussion:

Incrementing Intervals:

Currently no way to code for issues that are incrementing (not strictly sequential)

Spans of Enumeration

Currently no easy way to code for issues with spanned enumeration, though spanned chronology is already provided for

26

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Incrementing Intervals:

For example, the serial publishes no. 2, no. 4, no. 6, etc. and ***not*** No. 2, no. 3, no. 4 etc.

Spans:

For example, no. 3-4 or 2001/2002

Current problems under discussion:

Non-Gregorian Chronology:

Currently, the MFHD only supports Gregorian chronology

Calendar Restarting:

Currently, the MFHD only supports the year restarting in the Northern hemisphere

27 SCCTP Serial Holdings Workshop June 2002

Incrementing Intervals:

For example, the serial publishes no. 2, no. 4, no. 6, etc. and ***not*** No. 2, no. 3, no. 4 etc.

Calendar Restarting:

For example, Spring is March-May; needs to expand to the southern hemisphere, where Spring is Sept.-Nov.

CONSER website lists the issues and problems currently under discussion with MARBI:

lcweb.loc.gov/acq/conser/newinmarc.html

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Summary

- *Automated check-in would be greatly facilitated if libraries could share publication patterns and holdings data.*
- *Beyond the Experiment, CONSER has set up groups to assess the Format, its documentation, and the needs of its users for both functionality and data.*
- *The MFHD format is actively changing to account for more functions, more patterns of publication, and wider implementations.*

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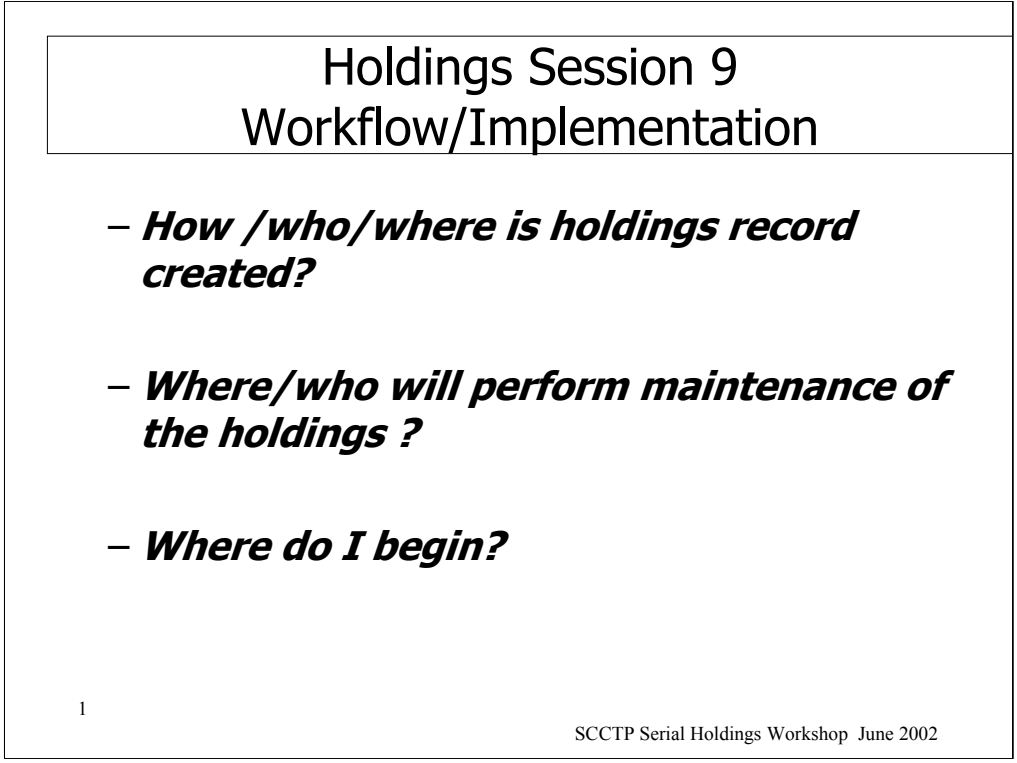

Holdings Session 9 - Workflow and Implementation

Contents

Warm Up Exercise

The trainer is advised to ask participants how they currently are performing serials activities.

Goal

To help participants identify and resolve workflow issues that may impede effective use of the format at their institution.

Questions for session

Where and by whom is check-in performed?

How do you currently handle issue that are sent out to be bound?

Who maintains the holdings record when issues are discarded or replaced by another format?

Do you produce any serial holdings reports and why?

Session process

This session is conceived as group brainstorming to facilitate implementation and problem solving.

Check-in and serials

- What work is performed at serials check-in?
- Who sets up the pattern if you are using serials check-in?
- Who closes old patterns?

Unit relationships

- How are title changes communicated? Pattern or caption changes? By whom, To whom?
- What type of maintenance of holding records is required?
- Where is maintenance of holdings performed?
- Is there a procedure and/or policy manual?
- Are bindery preparation activities centralized? Does binding affect holdings records?

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Other workflow issues

- Where to begin in implementing serials check-in?
- What about inputting holdings from old manual records?
- What other workflow issues have you encountered?

4

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It is suggested that a flipchart be set-up to record issues raised here.

It is at the end of this session that the Instructor should point out the Appendix of Additional Resources. These resources include online as well print resources available to help answer or guide users in working and maintaining holdings records.

Holdings and electronic journals

- Do you enter holdings for e-journals locally and on a Union list?
- Do you enter holdings at the summary level only for e-journals?
- For journal titles that you have both in print and electronic, do you display the paper and electronic journal holdings?

5

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Some possible answers or issues to think about when answering the above questions:

• Holdings in the local online system for electronic journals are very helpful ot the user, including ILL/Serials/Reference Depts. It allows users to know exactly what volumes and years have been converted and are available in full text at the point of searching these titles.

•A further question: At the Union List level, do you add holdings for only electronic serials that have licenses that allow ILL or do you add holdings for everything to let other libraries know you hold that title?

•Entering holdings at the summary level is easiest when entering Union List holdings and locally a summary statement may be easier to read by patrons than very detailed holdings. Since e-journals are not usually checked in, detailed holdings are not really possible.

•Why enter holdings for both formats? The user can verify if their citation is available electronically and then make use of whatever formats are available. Internally this allows staff to determine how to most efficiently retrieve this title. Finally consider the collection development issue. Holdings will provide crucial information when making difficult decisions such as when to cancel paper inlieu of electronic, when to discard paper volumes, and how to make cooperative collection decisions. So, local holdings have a role in helping patrons and the union list holdings will continue to help with ILL, Reference and cooperative collection development.

Appendix 1: History of Holdings Standards

A. NISO Holdings Standards

The perception of holdings as purely local delayed the rise of standards for decades. And yet in some aspects, such as that of a title as it comes from the publisher, the record of volumes and years is as universal as the bibliographic information. Contrast this situation with the decades of work on standards for every aspect of the bibliographic record, so that we have worked out the meaning of every bit of syntax and punctuation, and plentiful documentation exists for each part of the record and each code. Holdings standards did not arise until the 1980s, and they followed an era which depended on manual input of holdings in free style. Some of the reasons why coordination of holdings standards was so late are explained in Session 1. There is still a lot of resistance to incorporating standards for something so "local" as holdings into our large bibliographic utilities such as OCLC. In fact, OCLC defined the MARC Format for Holdings fields as "local" fields and uses them only for local output, excluding them from the master record. Now that they have entered again, even though it has to be through embedding in other fields, there is definitely hope that more influential groups will be using the format, looking out for its improvement, and promoting its use nationwide.

The first standards were **display** standards: **Z39.42** and **Z39.44.** As explained in the session, this meant that they dealt with the content of a holdings statement and how it should be presented, whether manually, electronically, or some other way. The later Format dealt only with identifying the parts of the statement to communicate it electronically. So the first thing to stress is that even though the Format and NISO standards were developed in coordination, neither requires the other. The MARC Format for Holdings is capable of generating any display according to the programming provided by whatever software is in use in the library.

a. Z39.42 (1980), Serial Holdings Statements at the Summary Level

ANSI Committee Z39 (Information Standards), Subcommittee 40, finished this standard and had it promulgated in 1980. There were "three levels of specificity" in this standard

–Level 1: identified only ***item*** *and* **holding institution**

–Level 2: added ***date of recording*** and optional ***notes on retention policy and completeness,*** among other values

– Level 3: was the first to give ***actual holdings.*** The detail was similar in its roughness to the manual statements of the era (printed union lists, card files, paper, computer-output microfiche). Note the absence of captions such as volume

and number; the open holding indicated by a hyphen, and the lack of supplements or indexes.

Ex. 1-3,5- 1975-1977,1979

Quick definition: A **summary statement** records the first and last parts of a range of units only, rather than listing all the units. The latter statement would be ***itemized,*** which is not provided for in this standard. It is important to realize that a volume is listed--as complete--if 50% or more of it is held. If less than 50% is held, the volume is omitted entirely. In other words, there is no detail whatsoever below the level of the volume, and even the volume level is up to fifty per cent approximation.

Though the standard is long superseded, data conforming to it is being loaded even today into online systems. This is why the 866-868, often used for retrospective holdings, allows the coder to specify this standard in the second indicator value.

b. Z39.44 Serial Summary and Detailed Holdings

This standard was called the NISO holdings display standard at the Summary and Detailed Level because the ANSI Subcommittee Z39 became the National Information Standards Organization, or NISO, around 1983, while this standard was being worked on by Subcommittee E. It started out to be a standard for detailed holdings, but as it became clear that the two levels would contradict each other, the decision was made to replace the earlier standard and add a new fourth level. At the same time this work was proceeding, another group outside NISO was working on the MARC Format for Holdings. Though there was some collaboration, the two groups did not really work together.

The standard looks different in that the numbering now includes captions (vol., no., tome, anno, etc.) Underlying differences are even greater, because now, a volume is listed if any part of it is held, rather than only if 50% or greater portion is held. There is now a fourth level, so this level 3 is the successor to the previous standard.

At Level 3, the summary level, options exist for displaying the data, one (Option B) that looked more like the previous standard:

Level 3, Option B:
v.1-v.5 (1980-1984)

and one newer form (Option A) that—except for spacing/punctuation—looks more like the enumeration and chronology syntax in the bibliographic record (the 362 field).

Level 3, Option A:
v.1(1980)-v.5(1984)

There is also a new fourth level of specificity, which guarantees the completeness and accuracy of the holdings statement to the issue level, for detailed holdings. Full detail

at the issue level is now possible. The format at Level 4 is akin to that of Level 3, Option A, with *adjacent* presentation of enumeration and chronology.

Level 4 (Detailed)
v.1:no.1(1995:Jan.)-v.2:no.1(1996:Jan.),
v.2:no.3(1996:Mar.)-v.3:no.12(1997:Dec.)

When holdings are given in detail, some detail can be *compressed* . If *complete,* a compressed statement would look very much like a summary statement at Level 3. The difference is that at Level 4, the completeness of each unit given is guaranteed.

If there is a gap, it must be explicitly expressed in the holdings statement. Moreover, it is to be expressed "positively," in terms of the units held, not units missing. At Level 4, the complete range between each gap is expressed as in this example, with the complete designation of each issue given before and after the gap:

v.1:no.1(1995:June-v.1:no.3(1995:Aug.),v.1:no.5(1995:Oct.)-
v.1:no.7(1995:Dec.),v.1:no.9(1996:Feb.)-v.1:no.12(1996:May)

Holdings with many gaps could end up looking very crowded . Some libraries tried to follow Level 4 holdings standards, except in simplifying the notation of multiple gaps (particularly within a single volume:

v.1:no.1-3,5-7,9-12(1995:June-Aug.,Oct.-Dec.,1996:Feb.-May)
or simply v.1:no.1-3,5-7,9-12(1995-1996)

At Level 4, there were no options for display. Since open holdings were not allowed at this level, the statement also had to be constantly updated as issues were added. This was almost always done manually because so few systems had this capability.

During the creation of Z39.44, another unrelated group began working on the communication standard, the *MARC Format for Holdings.* Though there was some cross-checking, the two groups did not formally work together.

c. Z39.57 (Holdings Statements for Non-Serial Items (1989))

Belatedly, a monographic standard was added to the serials standard. Its conventions were mostly compatible with the serials standards that had preceded it. The monographic standard used some punctuation of its own which in the later standard has also been adopted for display of serial holdings.

The same year that this standard came out was the year the Holdings Format came out in its revised and expanded form, as the *MARC Format for Holdings Data.*

At this point, the library world began a debate whether it was better to continue two standards or to combine the standards into one. Certainly, the existence of only one Holdings Format was an influence, as was format integration on the bibliographic side. The International Standards Organisation (ISO) also had a single summary holdings standard for all formats.

Eventually, the subcommittee called Standards Committee AL was formed in 1995 and considered whether to revise Z39.44 or make an entirely new standard. They decided on the latter course.

d. Z39.71 (Holdings Statements for Bibliographic Items (1999))

The new standard was approved in March of 1999. It is "instantly" downloadable from NISO's Web site, at www.niso.org . The latest arrangement on the NISO web site is that though hard copy costs $55, a downloaded PDF version is available for free!

Level 4:

v.1:no.1-2:1(1995:Jan.-1996:Jan.) OR
v.1:no.1(1995:Jan.)-2:1(1996:Jan.)

This standard is described in Session 1. The following are important features for serials:

–It handles all formats, so that serials and multiparts, for example, can be handled the same way.

–Some provisions and punctuation in earlier standards are made obsolete but may be retained in older holdings displays.

–The new standard was intended to be pragmatic, based on common sense, and minimally disruptive to current practice. It is also much more flexible than any of the earlier standards, with options for presentation even at the highest level. This makes it easier to customize for each library's needs.

–This standard seems to recognize the trend that more and more libraries seem to be itemizing their serial holdings in OPAC displays, so it gives more examples and guidelines for this type of display. A holdings statement can also be partly itemized, partly compressed (summarized). A space or line break separates items within an itemized statement.

–Some of the distinctions in layout which made it easy to tell which standard and which level of the standard was being used are now optional or gone altogether. This may make it harder to distinguish, for example, between Level 3 and Level 4 holdings. MARC coding, if fully used and visible, can fill this information gap.

B. The MARC Format for Holdings

Impetus for a MARC format for holdings grew out of the desire of a regional group of libraries to share periodical holdings information, particularly of their scientific and technical periodical literature, in the early eighties. Eight southeastern research libraries, members of ASERL, agreed among themselves to design a software program to communicate periodical holdings information among their institutions. They obtained a Title IIC grant in October 1981. A first edition of the documentation was produced in 1984. The software was produced, and the libraries contracted with SOLINET to put the program into production with a union catalog for the participants. The result was LAMBDA, which lasted for a few years in the mid-eighties, and attracted nationwide notice, though little emulation. Eventually, LAMBDA had to be abandoned as the capacity to maintain it was ending and none of the campuses could take it over. Some of the member library data that it held, however, was able to be transferred into MFHL-based holdings in the OPACS of the home institutions.

Through arrangement with the Library of Congress, and continuing cooperation with the Z39 Committee and with MARBI, the group was eventually commissioned to develop their creation into a new MARC Format, covering both serial and non-serial items. The new work was initially called the *MARC Format for Holdings and Locations*, or MFHL (1986). It was revised and expanded as the *MARC Format for Holdings Data* (1989). The description of this Format is the subject of the bulk of this course, so we will not cover it here.

There were hindrances to the development and widespread use of the Format. One of those was the reluctance of the bibliographic utilities to adopt it. OCLC had its own pre-MFHL software underlying its Union List subsystem, and declined to change over to MARC—or even to adopt a newer or higher-level display standard. Programmers seemed to find the Format a hard nut to crack.

For the time being, its spread was very slow, with VTLS for several years the only national ILS producer who offered a fairly full implementation. As early adopters, they had legacy codes and data to contend with when the standard was later updated; with this standard, however, this did not happen too often! Some in-house models based on the early software were in use, as at the University of Kansas, but these developed apart from the check of the standard and adopted their own features. Gradually, in the nineties, MARC Holdings implementations, varying in completeness, were developed for, among others, NOTIS, DRA, SIRSI, Geac, Innovative Interfaces, Dynix, ExLibris, and Endeavor Voyager. Now interest began to mount in the field for the missing features which were such a widespread problem in most implementations.

In ana-logy with its sister formats, MFHD has in 1999 assumed the “MARC21” prefix to its name for the new millennium. With the turn of the year 2000, many new systems and many updated or completely rewritten systems are now being built or coming on the market, having had a fresh look at the standard. The hope of all those

participating in the CONSER Publication Patterns and Holdings Task Force is that developmental difficulties in the Format, its implementation, and its documentation will be talked out among the experts and the users, so that we all can benefit from better products and a clearer idea of how to use them.

Source: Rosenberg, Frieda. "Managing Serial Holdings," in: *Managing Serials,* ed. Marcia Tuttle. Greenwich, Conn.: JAI Press, 1996.

APPENDIX 2: MARC21 FORMAT FOR HOLDINGS DATA HANDBOOK

Rev. 12/7/2000 [F. Rosenberg]

LEADER
Type of record **Leader 06**
v **Multipart item holdings**
x **Single part item holdings**
y **Serial item holdings**

Encoding level **Leader 17**
1 **Holdings level 1** [Identifies item and holding library only]
2 **Holdings level 2** [Identifies item, library, specific material (007/00-01), acquisition status, general completeness, and retention policy.]
3 **Holdings level 3** [Identifies the foregoing plus holdings at the summary level [of Z39.71]
4 **Holdings level 4** [Identifies the foregoing plus holdings at the detailed level] [Detailed holdings may be compressed, but they guarantee completeness of units]
m **Mixed levels**

VARIABLE CONTROL FIELDS *(Both may be system set)*
004 Control Number for Related Bibliographic Record
007 Physical Description Fixed Field [Identical to 007 in bibliographic record]

FIXED-LENGTH DATA ELEMENTS (Fixed Field)
Receipt or acquisition status **008/06**
0 **Unknown**
1 **Other** [None of codes appropriate]
2 **Ceased or completed** [Note: previous to Z39.71, value was Complete (held in full)]
3 **On order** [nothing yet received]
4 **Currently received** [serials and sets being updated or added to]
5 **Not currently received** [serials and sets for which the organization has holdings but is neither adding to nor intending to add; previous to Z39.71, included ceased serials not held in full]

Method of acquisition **008/07**
Codes: **d, e, f, g, p, u, z**
[Codes for: **Deposit, exchange, free, gift, purchase, unknown, other method of acquisition**]

Intent to cancel date **008/8-008/11 (4 char positions)**
yymm [date of last expected part; if not known, date of cancellation]
uuuu [to be cancelled, date unknown]
[blank] [no intention to cancel or not applicable]

General retention policy **008/12**
0 **Unknown**
1 **Other general retention policy**
2 **Ret. until replaced by updates** [e.g., looseleaf service]
3 **Sample issue retained**
4 **Retained until replaced by microform**
5 **Ret. until repl. by cumulation, replacement volume, or revision** [e.g., CD-ROM titles]
6 **Retained for a limited period** [Specify period under Special retention]

7 Not retained
8 Permanently retained

Special retention policy 008/13-008/15 (3 char positions)
[blank] No policy
l latest p previous If no. of units retained exceeds 9,
1-9 number of units give no. in 852 $x or $z
m month(s) e ed(s).
w week(s) i issue(s)
y year(s) s supplement(s)

Completeness 008/16
0 Other [limited retention; or, no estimate of completeness]
1 Complete [95% or more]
2 Incomplete [50-94%]
3 Scattered holdings [Scattered]
4 Not applicable [Could be set by system for single-part items]

Number of copies reported 008/17-008/19 (3 char positions)
001 1 copy
002 2 copies [etc.]

Lending policy 008/20
a Will lend
b Will not lend
u Unknown

Reproduction policy 008/21
a Will reproduce
b Will not reproduce [Further specification possible in field 845,
u Unknown Terms Governing Use and Reproduction Note; see Format]

Language 008/22-008/24 (3 char positions)

[Can be used to set a table to generate chronological subfields (e.g., months) in holdings data, if chronological data will be expressed in numeric form (months 01-12, seasons 21-24). See MARC Code List of Languages (http://lcweb.loc.gov/marc/languages/) for possible codes. Only Current language may be coded. Chronology expressed in numbers may be translated into the appropriate language via this code.]

Separate or composite copy report 008/25
0 Separate copy [Report covers a single copy]
1 Composite copy [Reports covers more than one copy]

583 Action Note [Used to report processing, reference, and preservation actions in regard to material; 19 possible subfields]

842 Textual Physical Form Designator [Description of item; may be coded in 007, with textual description in 842 used to generate display]
[Ex: Computer file; Binder]

843 Reproduction Note [Identical to 533 + 539 field in bibliographic record.

Used when bibliographic information for reproduction differs from description in bib. record]

852 Location

1st indicator Shelving scheme [Classification system, etc.]

[blank] No information provided
0 **LC**
1 **DDC**
2 **NLM**
3 **SuDocs**
4 **Shelving control no.**
5 **Title**
6 **Shelved separately**
7 **Source specified in subfield ‡2 below**
8 **Other scheme**

2nd indicator Shelving order [for serials and multipart items]

[blank] **No information**
0 **Not by enumeration**
1 **Primary enumeration**
2 **Secondary enumeration**

‡8 Link and sequence number--for sequencing multiple holdings records
‡a Holding institution or library
‡b Sublocation or collection
‡c Shelving location
‡h Call number, classification part
‡i Call number, item part
‡k Call number prefix [Ex.: 'Ref']
‡l Shelving title
‡m Call number suffix[Ex.: 'Vault']
‡p Piece designation [barcode]
‡q Piece physical condition
‡x Nonpublic note
‡z Public note
‡2 Source of scheme indicated by first indicator 7

853 Captions and pattern for basic volumes; 854 Captions and pattern for supplements

**Note: occurs in pairs with 863 and 864*

1st indicator Compressibility and expandability

0 Cannot compress or expand
1 Can compress but not expand [i.e., enough information is present in captions & pattern to enable manipulation by computer algorithm: pattern subfields ‡u-v for each level below first to be compressed, plus ‡w,x,y as appropriate]
2 Can compress or expand
3 Unknown--(default)

2nd indicator Caption evaluation

0 Verified, all levels present
1 Verified, may not have all levels present
2 Unverified, all levels present
3 Unverified, may not have all levels present

855 Captions and pattern for indexes

**Note: occurs in pairs with 865*

Both indicators blank [index holding statement cannot be compressed/expanded by computer]

Subfields of 853, 854, 855:

‡8 Link no. [for sequencing of piece holdings; changes in caption and pattern may require new link numbers. Combined with a sequence number in 86X fields.]
‡a First level of enumeration [such as v., t., ser., etc.]

[If value is in ( ) parentheses, it does not display]
‡b Second level of enumeration
‡c Third level of enumeration
‡d Fourth level of enumeration [may rarely have ‡e and ‡f for a total of six levels]
[After each level of enumeration below the first are elements of pattern which enable prediction of receipt and compression or expansion: ‡u and ‡v]
‡u Number of units per next higher level [e.g., number of ‡b received before ‡a increments; if varied or undetermined, use var or und]
‡v Numbering continuity [c increments continuously; r restarts at completion of unit]
‡g Alternative numeration, first level [Secondary numbering scheme]
‡h Alternative numeration, second level
‡i First level of chronology [usually (year)]
‡j Second level of chronology [such as (month) or (season)]
‡k Third level of chronology [such as (day)] [Rarely, a fourth level will be given in ‡l]
‡m Alternative numbering scheme, chronology
‡t Copy number caption
‡o Type of supplement or index [854, 855; immediately follows caption to which it refers]
‡w Frequency [identical to codes for Frequency element in the bib record, or # of units if no frequency applies; **x** if completely irregular] [See Page Following This Handbook]
‡x Calendar change [point of calendar at which numbering at the highest level increments; two or four digits—two if month or season, four if month/day]
‡y Regularity pattern [in three parts]:
1. **Publication code** (1 char pos) **o** (omitted) or **p** (published)
2. **Chronology code definition** (1 char pos) **d**(day), **m**(month), **s**(season), **w**(week)
3. **Chronology code** See Page Following This Handbook

‡3 Materials specified [i.e., the range of volumes to which the field applies]

856 Electronic Location and Access [Data necessary to access an electronic resource. Identical to field as found in bibliographic records]

863, 864, 865 Enumeration & chronology of basic volumes, supplements, and indexes
1st indicator Field encoding level.
[blank] No information--default
3 Holdings level 3 [i.e., "incomplete" or open entry at the first level of enumeration only]
4 Holdings level 4 [unit (e.g., volume), or all units within range, complete as given]
5 Holdings level 5 [Level 4 plus barcodes]
2nd indicator Form of holdings
[blank] No information provided
0 Compressed [i.e., expressed as a range] [0 and 2 cannot be used with indexes, 865]
[Computers can not compress or expand index holdings statements unambiguously. Give compressed index data in Textual holdings field 868]
1 Uncompressed [i.e., one physical (holdings) unit]
2 Compressed; use textual display [instructs computer to suppress display of holdings statement in favor of a textual holdings field (866-868) with the same linking no.]
3 Uncompressed; use textual display [one unit; display to be suppressed as above]
4 Items not published [cannot be used with indexes, 865]
Subfields of 863, 864, 865
‡8 Link & sequence number [1.1, 1.2, 1.3, etc.; linking number may be a higher number if units being coded are not the first published in the title]

‡a First level of enumeration [to go with caption in 853 $a]
‡b Second level of enumeration [to go with caption in 853 $b] [etc. through ‡f]
‡g First level of alternative enumeration [Secondary numbering scheme]
‡h Second level of alternative enumeration
‡i First level of chronology [to go with caption in 853 ‡i]
‡j Second level of chronology [to go with caption in 863 ‡j] [etc. through ‡k]
[Months and seasons may be used normally or represented by numeric codes: 1-12; 21-24.]
‡m Alternative numbering scheme, chronology
[There need not be a lower level of enum/chronology to match each particular caption in the 85X fields.]
‡t Copy number
‡o Title of supplement or index [if different from the Type of ... specified in 854 & 855]
‡w Break indicator [**g** gap, **n** nongap, i.e., due to unpublished or misnumbered parts]
‡x Nonpublic note
‡z Public note

866-868 Textual holdings [Free text]
[these display alone, in addition to, or instead of, coded enumeration and chronology. May also display non-holdings data, e.g., notes; for basic bibliographic units, supplements, indexes]
First indicator
[blank] No information provided
3 Holdings level 3 [i.e., bib. units may be incomplete or given as open entry at the first level of enumeration only]
4 Holdings level 4 [unit (e.g., volume), or all units within range, complete as given]
5 Holdings level 5 [Level 4 plus barcodes]
Second indicator
0 Non-standard [not formulated according to standard; or not holdings]
1 ANSI Z39.71 [formerly Z39.44 or Z39.57]
2 ANSI Z39.42 [earlier serial summary holdings display standard, minus captions and allowing open entry; no guarantee of completeness of units]
Subfields of 866-868
‡8 Link and sequence number [determined by the following conditions]
Link no. 0 [used when 866 carries the only holdings, or only holdings intended for display. All 863-865 second indicators should be coded 2 or 3 (non-displaying)]
Link no. duplicates link no. of` 853-855 and 863-865 fields [used when textual holding should replace 86X field(s) for display. Related 86X fields have second indicators 2 or 3. The link numbers to be replaced may be repeated in single textual holdings field or given in separate fields]
Link no. is unique and [in sequence with] 863-865 fields [display is generated from all fields]
‡a Textual holdings
‡x Nonpublic note
‡z Public note

876-878 Item Information [Management data, including relatively permanent changes in status]
[**Both indicators blank]**
Subfields of 876-878
‡8 Link and sequence number [duplicates nos. of related 863-865]
‡a Internal item number
‡b Cancelled/invalid internal item no.
‡j Permanent item status
‡l Temporary location [e.g., Reserve]
‡p Piece designation [barcode]
‡r Cancelled/invalid piece designation

‡c Cost
‡d Date acquired
‡e Source of acquisition
‡h Use restrictions
‡t Copy number
‡x Nonpublic note
‡z Public note
‡3 Materials specified [used when specifying only a portion of range referred to, or when linking to Textual Holdings field]

From: CONSER Patterns and Holdings Project Guidelines

853-855 $w - Frequency (NR)
A one-character alphabetic code or a number that indicates the publication frequency of the item. Subfield $w is not related to a specific caption. It is input following the last chronology caption used. Specific publishing pattern information is contained in subfield $y (Regularity).

- Codes
  Codes used for frequencies that have a fundamental periodicity.
  - a - Annual
  - b - Bimonthly
  - c - Semiweekly
  - d - Daily
  - e - Biweekly
  - f - Semiannual
  - g - Biennial
  - h - Triennial
  - i - Three times a week
  - j - Three times a month
  - m - Monthly
  - q - Quarterly
  - s - Semimonthly
  - t - Three times a year
  - w - Weekly
  - x - Completely irregular
- Number
  A number is used to specify the issues per year when no codable periodicity exists. Because subfield $w is variable in length, no leading zero is used for a single-character number.

5.2.9. Subfield $y - Regularity pattern:

A regularity pattern subfield is needed only for serials whose periodicity varies from the normal pattern for the frequency by regular omissions or combined numbers. This subfield is composed of codes which are in three parts:

a *publication code*:

either: **p** published
or: **o** omitted

a *chronology code definition*:

d day
m month
s season
w week

a chronology code:

Table I. Chronology Codes

Chronology Code Definitions	Pattern	Chronology Code	Meaning
d	dd	su	Sunday
m	MM	09	Sept.
d	MMDD	0925	Sept. 25
s	SS	22	Summer
w	wwdd	03we	3rd Wed. of month
w	MMWWdd	0599tu	last Tue. in May
w	MMwwdd	0802we	2nd Wed. in Aug.

Table 2. Chronology Pattern Definitions

Pattern	Code Type	Alpha/numeric	Possible values
dd	day	alpha	**mo-su**
DD	day	numeric	**01-31**
ww	week	numeric	**01-53**
WW	week	numeric	**99, 98, 97, 00, 01, 02, 03, 04, 05**
MM	week	numeric	**01-12**
SS	season	numeric	**21,22, 23, 24**

Table 3. Specific Value Definitions for Chronology

Day of Week	Week	Month
mo – Monday	**01-53**	**01-12**
tu - Tuesday		
we - Wednesday		
th - Thursday		
fr - Friday		
sa - Saturday		
su - Sunday		

Week of Month	Season	Day of Month
99 – Last	21 – Spring	01-31
98 - Next to Last	22 - Summer	
97 - Third to Last	23 - Autumn	

99 – Last
00 – Every
01 - First
02 - Second
03 - Third
04 - Fourth
05 - Fifth

24 - Winter

Conventions:
Two-character alphabetic or numeric codes are used for days, weeks, months, and/or seasons. A code of less than two digits is right justified and the unused position contains a zero. Multiple codes are separated by a comma. A slash (/) is used to designate combined issues. Values can be repeated, if multiple issues are to be received within the same defined time period.

The Regularity pattern codes are controlled by an authoritative list maintained at the Library of Congress. Guidelines for their use can be found at: http://lcweb.loc.gov/marc/chrono_patterns.html. Questions on coding patterns or establishing new ones may be addressed by contacting the Network Development and MARC Standards Office (marc@loc.gov) or the CONSER Pattern Holdings Task Force (CONSERHOLD-L@cornell.edu).

Examples:

Monthly with calendar change in March and a combined issue in July/August:

891 20 $9 853 $8 1 $a v. $b no. $u 11 $v r $i (year) $j (month) $x 03 $y pm03,04,05,06,07/08,09,10,11,12,01,02 $w m

891 20 $9 853 $8 1 $a v. $b no. $w w $y ow01,0699we,0700we, 0801we,0802we,0803we,0804we,0998we

[Publication is omitted all weeks of Jan.(ow01), last Wed. in June (0699we), every Wednesday in July (0700we), 1st, 2nd, 3rd, 4th Wed. in August (0801we,0802we,0803we,0804we), and next to last Wed. of September (0998we)]

891 20 $9 853 $8 1 $a v. $b no. $u 26 $u r $w w $x 0101 $yow05we
[Item is a weekly but omits the fifth Wed. of the month]

Appendix 3. Hints for Power Point Presentations

PowerPoint presentations are not difficult to do!

Usually, in the typical venue, you will be using a laptop, and they often take getting used to. (If you give a lot of presentations, consider investing in one of your own. That way you'll have the advantage of familiarity with the equipment, and the presentation can be loaded and ready to go.)

The laptop will be connected to a projector which will show your slides on a screen. The laptop must be away from the screen so as not to block view; fairly close to the projector for easy connection. The screen should be placed at a level which does not cause either eyestrain or neck strain for the trainees. Several cables and cords are involved, so getting help is best. Bring extra power supply if possible, just in case—definitely if you're using your own equipment.

Do have the laptop turned off before you begin the setup operation. Depending on the make of computer, getting a display may involve either the "F1" or the "F3" key; try those if you're having trouble once everything is a) connected and b) turned on. Remove the projector lens cap for best display!

How to get the presentation up in a hurry, once you've found its file, brought it up, and have loaded PowerPoint? The quickest way is at the lower left corner of the PowerPoint screen. It looks like this:  Click on this, also, if you accidentally press the wrong key and exit from the presentation accidentally. It's much faster than Slide Show/View Show or View/Slide Show and will resume right where you were.

Incidentally, you might want to load more than one presentation—any you might think of using that day, in fact. Then they would all be accessible from the "Window" on the toolbar. And you could get them easily once it was time for them.

There are various ways to navigate through a presentation on a laptop. Some may work on one computer and not on another. The worst way is the "sensitive" touch pad; it's sure to zip you too many slides ahead. Best ways:

Forward:	**Back**
Left click	Right click
Enter	Backspace
Page down	Page up *(careful here because these may be*
Space bar	*too close to "Home" and "End")*
Down arrow	Up arrow *(my favorites)*
Right arrow	Left arrow
n(ext)	p(revious)

If you are within a presentation, and, say, you need to go back several slides—if you can quickly find the slide number, just type it and press Enter. You'll return there. By the same

token, you can also go forward. While practicing in show mode, try the F1 (help) key and look at all the commands available to you during the presentation.

Now you're breaking for "Break" or "Lunch." If you haven't made a slide for that—as I suggest below—perhaps you at least want to blank the screen. A simple touch on the "b" key will bring a black screen; the "w" key will get you a white screen. How's that?
By the way, those are toggles; touch them again, and your display returns.

It's not hard, once you've decided on your schedule, to add some things that will make the presentation work better for you. For one thing, there's usually a master slide that will enable you to continue the look and feel of the presentation if you wish to insert a slide of your own (say, a slide with the day's schedule, a signal for a break or lunch, or something to personalize your show). You can add a slide by clicking on Insert/New Slide above the screen. This command will bring up several layouts for you to choose from. If you're just adding a word, such as "Lunch," choose the first layout, or the one that allows you "Title only" near the bottom. These will naturally give you a large font. There may be a default font, but you can change fonts and font sizes. The process will be familiar to you if you have used Windows programs. You might want a decorated font to signal a break, so you can experiment a little bit. Here is why you don't need to be worried:

a. The left, curving arrow at the top of the screen will "undo" up to 20 actions, including the insertion, or deletion, of a slide.
b. As long as you haven't saved anything, you still haven't trashed your presentation! (Hint: Save once more before starting to experiment.)
c. Even if you've gone beyond that point, or saved unwanted material, you can still delete slides by the easy method of clicking on "Edit/Delete Slide."
d. Unless you're a seasoned PowerPoint user, it's best to limit your changes to the slides to this type of change at end or beginning of a presentation. Even rearranging the order would put them out of sync with the manuals, so that's to be avoided. If you really need a different order, you can use the "jumping" technique described above, and notify your audience of what you're doing.

However, if you know you'll be short of time to finish the sessions, and feel there are topics that you can't fit in during the presentation, there is a way to hide slides selectively without deleting them. This is also a toggle (Hide Slide/Unhide Slide) located on the Slide Show menu on the toolbar.

If you do any hiding, you need to get familiar with the Slide Sorter (the four rectangles next to the Slide Show icon) . This will show you all the slides in order, including hidden ones, whose slide numbers are displayed within a gray box and struck through with a gray slash. Use the Help facility to learn more about these options.

While you're in the show, you can use the PowerPoint arrow to be your laser pointer if you wish. You can even change the arrow to a little "pen" shape, and make the pen a different color, by clicking either right or left button on your mouse or pad on the "show" icon I illustrated earlier (or Control-p). Doing it again, or Control-a, changes it back. The only drawback is that to point, you may have to move the pen or arrow across one of those "sensitive" touchpads, and instead of pointing to something, you'll find yourself jumping

ahead to a different display. If it's your laptop, de-sensitizing the pad according to the instructions on your particular computer, long in advance of the presentation, is the best way to handle this. (It's a menu command somewhere within your laptop customization options.) Alternately, bring or arrange for a laser pointer—or a long wooden or steel pointer—to make your points. Fingers don't make good pointers. Caution—laser pointers in an unsteady hand can cause audience vertigo, too.

Should you, as a trainer, need to print from your slides, you can do so from the print menu. You can print the slides alone, the slides and notes, various styles of handouts, etc. Be careful, when you do, to make sure you have specified which slides you want printed unless you want them all, which is the default. Also—important tip—unless you're going to want very dark, unreadable images, choose not just "black and white, but "pure black and white" before you print!

Good luck in presenting your show!

Appendix 4: Glossary

Alternative numbering scheme. A secondary sequential designation(s) assigned to some serials and multipart items to provide a continuously numbered sequence in addition to a primary set of hierarchical designations. (MFHD)

Basic bibliographic unit [*abbrev. basic unit*]. The main bibliographic entity for which holdings are being reported (MFHD). Any of the parts in which a serial or multipart item is published which bears as its designation any part of the basic *enumeration* and/or *chronology* of the item and thus is included within its principal numbering sequence. Cf. *supplemental unit* and *index unit.*

Basic volume. A **basic unit** (see above) at the highest, or primary, level of holdings hierarchy; (Cf. **Primary bibliographic unit.)**

Caption. Word, phrase, or abbreviation indicating the *bibliographic unit* into which a serial or multipart item has been divided by the publisher. Exampes: volume, number, Band, Heft, part, side (of a disk), year, etc., and their abbreviations. (MFHD)

Chronology. The date(s) used by the publisher on a serially-issued *bibliographic unit* to help identify it or indicate when it was issued. The chronology may reflect the dates of coverage, publication, or printing. (MFHD)

Compressed enumeration and chronology. A statement of enumeration and chronology which condenses one or more data elements by recording a range of holdings in terms of the enumeration of only the first and last parts held in order to express the same information with fewer characters; or a statement which indicates the holdings of a complete level of hierarchy by recording the enumeration of the next higher level of the hierarchy. (MFHD)

Embedded holdings information. Holdings information contained in the record for the bibliographic description for the bibliographic item. An embedded holdings report does not have its own *item identifier* [data element identifying the bibliographic item, such as a control number] (MFHD)

Enumeration. The designation reflecting the alphabetic or numeric scheme used by the publisher on an item, or assigned when the holdings statement is created, to identify the individual bibliographic or physical parts and to show the relationship of each unit to the item as a whole. (MFHD)

Index unit.A physically separate, or separable, alphabetically arranged list of names, places, and subjects treated in a printed work, with page number(s) to direct the reader to the appropriate locations in the text. Only cumulative, physically separate indexes are noted individually on bibliographic records for serials. Cf. *basic bibliographic unit.*

Bibliographic unit. A discrete bibliographic entity that constitutes either the whole or a

part of the *bibliographic item).* (MFHD) A level of holdings hierarchy bearing enumeration and/or chronology which identifies it. A bibliographic unit may or may not be identical to any single *physical* part or *piece.* A bibliographic unit also may itself have been issued in parts which constitute one or more lower levels of bibliographic units.

Pattern (*or* Publication pattern). The array of data elements used to describe the pattern of issuance, or publication, of a serial or multipart item, including:

- its frequency
- *for each bibliographic unit,* the number of secondary or lower bibliographic units, if any, that compose it and the relationship of the lower numbering system to the higher (whether it restarts or is continuous)
- the calendar change point where the higher number increments
- variations in the intervals of issuance

Piece. A single physical part. (MFHD)

Primary bibliographic unit. A unit, whether basic, supplemental, or index, designated by the highest, or most inclusive, level of holdings hierarchy; ordinarily it will be stated first within a holdings statement. Also called **first-level unit**; other units are called **second-, third- ,** etc., **level units.** Example: in the holdings statement "v.1:no.2", the primary bibliographic unit is a *volume.*

Supplemental unit.A part of a work, physically separate from the basic bibliographic unit and designated with a term such as "supplement" or its equivalent. Cf. *basic bibliographic unit.*

Uncompressed enumeration and chronology. A statement of enumeration and chronology which itemizes, explicitly and without compression, the holdings of each part of a bibliographic unit held. (MFHD)

From: *CONSER Guidelines for Input of Caption/Pattern and Holdings Data (Draft)*

Appendix 5: Bibliography

Barry B. Baker, ed. USMARC Format for Holdings and Locations: Development, Implentation, and Use. New York, Haworth Press, 1988.

Information and Documentation--Holdings Statements--Summary Level (ISO 10324:1997)
Print: Geneva, Switzerland : International Organization for Standardization, 1997.
in U.S.: available from ANSI
http://webstore.ansi.org/ansidocstore/find?asp

Library of Congress. Cooperative Program for Serials Cataloging (CONSER).
CONSER Task Force on Publication Patterns and Holdings.
http://lcweb.loc.gov/acq/conser/patthold.html

Contains:
CONSER Guidelines For Input Of Caption/Pattern And Holdings Data
Pattern Guide Table, Examples (provided by John Espley, VTLS)
Sample Records with Publication Patterns
Macro "PUBPAT.MBK" From OCLC Passport for Windows
Survey on Vendor Support for the MARC 21 Holdings Format
Basic Compliance with MARC Holdings: a definition
Universal Holdings Data: Definition and Function
Task Force Plan, Milestones, FAQ, Roster

_____. Network Development and MARC Standards Office.
MARC 21 Format for Holdings Data (2000)
CD-ROM: in Cataloger's Desktop
Print: Looseleaf, with updates. Washington : Cataloging Distribution Service, Library of Congress. Quarterly, in cumulative issues.
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http://lcweb.loc.gov/marc/holdings/

National Information Standards Organization (NISO). *Holdings Statements for Bibliographic Items*. Bethesda, Maryland, 1999.
http://www.niso.org/standards/index.html (Purchase paper or download a free electronic copy)

Rosenberg, Frieda. *Do Holdings Have a Future?*
http://www.lib.unc.edu/cat/mfh/mfhfuture.html

SCCTP
MARC Format for Holdings Data Workshop

Pre-Workshop Exercises

Please print out the following exercises and complete as many of as you can. The purpose of these exercises is to help you determine what areas you may want to pay particular attention to during the workshop.
Bring the completed exercises and any questions you may have with you to the workshop to facilitate discussion about the examples during the scheduled sessions.
Please also note that information used in these exercises may have been altered to illustrate various points of practice.

---

1)

Cover:

Today's Education
The Journal of the National Education Association

Contents page:

The Annual of the National Education Association
1982-83 Volume 71, Number 3

Today's Education

Verso of contents page:

Published once a year by ...
(ISSN) 0271-3573

Your library has a subscription to this title starting with this issue. Your library has retained all issues. List the information about your holdings you would expect to enter into a holdings record.

_____
_____
_____
_____

2) List as many library functions that you can think of that are affected by having holdings recorded in your library system.

_____
_____
_____
_____

3) The following title is issued annually.

CD-ROM label: **Who's Who in Canadian Business**
17th Edition 1997

ISSN 1209-8299

What is the caption for this issue?_____

What is the abbreviation for the caption?_____

What is the enumeration for this issue?_____

What is the publishing frequency for this title? _____

4)

Title page:

Trends in Cognitive Sciences

REFERENCE EDITION
Volume 1
1997
Elsevier Science

Your library only retains the latest 2 years of this title. How do you communicate that information to your users?

_____
_____

Would you expect the holdings record to contain that information for you? Yes No

5)

Title 1: **Marriage and divorce statistics**
New issue: **Marriage, divorce and adoption statistics**

When a serial title changes is a new holdings record required? Circle one: Yes No

Why?_____

6)

Title 1: **Architectural Review**
Volume 17, April 1910

New issue: **Architectural Review**
New Series, Volume 1, January 1912

Would the appearance of different captions require a new holdings record? Circle one: Yes No

Why?_____

7)

Title 1: **Australian Review of Fiction**
Volume 1, number 1 Spring 1957

Your library has scattered holdings for this title. Some of the back volumes are retained on microfilm and others are bound volumes. Your library has just started to receive issues after a 3 year gap. You are about to all the holdings for this title into your automated system for the first time.

At what level or levels would your holdings be entered? I.e., would you want either summary (range) or itemized (piece by piece) holdings here? _____

Why?_____
_____
_____

Library of Congress
Comments: lcweb@loc.gov (10/23/2000)

SCCTP
MARC Format for Holdings Data Workshop

Pre-Workshop Exercise Answers

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Please also note that information used in these exercises may have been altered to illustrate various points of practice.

---

1)

Cover:

Today's Education
The Journal of the National Education Association

Contents page:

The Annual of the National Education Association
1982-83 Volume 71, Number 3

Today's Education

Verso of contents page:

Published once a year by ...
(ISSN) 0271-3573

Your library has a subscription to this title starting with this issue. Your library has retained all issues. List the information about your holdings you would expect to enter into a holdings record.

Location Call number Issues held Issue numbers Receipt status Physical format

2) List as many library functions that you can think of that are affected by having holdings recorded in your library system.

Serials check-in	Labels	OPAC	
Circulation	ILL	Bindery	Reports

3) The following title is issued annually.

CD-ROM label: **Who's Who in Canadian Business**
17th Edition 1997

ISSN 1209-8299

What is the caption for this issue? Edition
What is the abbreviation for the caption? ed.
What is the enumeration for this issue? 17th

What is the publishing frequency for this title? annual

4)

Title page:

Trends in Cognitive Sciences

REFERENCE EDITION
Volume 1
1997
Elsevier Science

Your library only retains the latest 2 years of this title. How do you communicate that information to your users?
In a note that appears on the bibliographic record in our online catalog

Would you expect the holdings record to contain that information for you? Yes

5)

Title 1: **Marriage and divorce statistics**
New issue: **Marriage, divorce and adoption statistics**

When a serial title changes is a new holdings record required? Circle one: Yes

Why? Because when a title changes a new bibliographic record is created and the holdings for each title are linked to the bibliographic record.

6)

Title 1: **Architectural Review**
Volume 17, April 1910

New issue: **Architectural Review**
New Series, Volume 1, January 1912

Would the appearance of different captions require a new holdings record? Circle one: No

Why? Because the holdings are still attached to the same title and there is a way in the holdings record to note the new caption.

7)

Title 1: **Australian Review of Fiction**
Volume 1, number 1 Spring 1957

Your library has scattered holdings for this title. Some of the back volumes are retained on microfilm and others are bound volumes. Your library has just started to receive issues after a 3 year gap. You are about to all the holdings for this title into your automated system for the first time.

At what level or levels would your holdings be entered? (Probably) summary and detailed

_____

Why? Detailed holdings result from the check-in process. Once issues are checked in, it is up to the individual library how to handle data in the OPAC. Holdings are usually at least partially summarized, to the volume level; in many catalogs they are further summarized to the level of a range. The library will base its decision on what the holdings are needed for: a quick look, management of individual pieces, or detailed reports to union lists, for example.

Library of Congress

Comments: lcweb@loc.gov (10/23/2000)

SCCTP
Serial Holdings Workshop

Post-Workshop Exercises

Contents

1. Standards and Holdings

List the standards that are used by libraries for entering and recording holdings.

2. Libraries and Standards

List as many library system functions as you can that are affected by the holdings format.

List as many reasons as you can why libraries should use the standards.

3. Coding Records

Code the following examples.

Example 1
Cover:

Your library has holdings from volume 1 number 1, January 1989. The title is classified using the LC call number: GV561 .S761 and is bound through Volume 11. Summarize the volume holdings in a textual field, but itemize the issue information.

Type: Encoding Level: Receipt./Acquisition status.: Acquisition Method.: Intent to Cancel: General Retention: Specific Retention: Language: eng Completeness: Lending: Reproduction:

004 $a [System generated]
007 $a ta

852 __ $b My library

853 __ $8 2

866 __ $8 1 $a

863 __ $8 2._
863 __ $8 2._
863 __ $8 2._
863 __ $8 2._
863 __ $8 2._
863 __ $8 2._
863 __ $8 2._
863 __ $8 2._
863 __ $8 2._
863 __ $8 2._
863 __ $8 2._

Example 2
Cover:

How would this issue be coded in order to add it to the record with the basic units?

855

865

Example 3

Fill in holdings as far as you can. Summarize where possible, assuming regular numbering.

v.1 1979 (no.1-4) Jan,Apr,Jun,Sep v.2 1980 " v.3 1981 no. 3 v.4 1982 v.5 1983 v.6 1984 + Suppl. 1984 v.7 1985 1986 (no.1-4) Spr,Sum,Fall,Winter	1987 " 1988 no. 2-3 1989 + Index 1979-1988 1990 1991 For later holdings see check-in record

853 20 $8 1 $a v. $b no. $u 4 $v r $i (year) $j (month) $w q $x 01
863 _ _ $8 ___ $a $i $w
863 _ _ $8 ___ $a $b $i $j
863 _ _ $8 ___ $a $i

854 20_$8 ____$a (year)
864 $8 $a

853 _ $8 $a (year) $b no. $u 4 $v r $i (year) $j (season) $w q $x 21
863 $8 $a $w
863 $8 $a $b $i $j $w
863 $8 $a

855 -- $8 $a v. $i (year/year)
865 $8 $a $i

Library of Congress
Comments: lcweb@loc.gov (10/23/2000)

SCCTP
Serial Holdings Workshop

Post-Workshop Exercise Answers

Contents

1. Standards and Holdings

List the standards that are used by libraries for entering and recording holdings.

1. NISO Standard Z39.71
2. MARC21 Format for Holdings Data

2. Libraries and Standards

List as many library system functions as you can that are affected by the holdings format.

1. Serials check-in
2. Binding and labeling
3. OPAC display
4. ILL
5. Circulation
6. Z39.50 connections
7. Links to holdings from indexes

List as many reasons as you can why libraries should use the standards.

1. Database of records is transferable
2. Records can be shared between libraries
3. Costs of importing existing records is cheaper than creating them from scratch
4. Use of standards can keep costs down especially with system enhancements

3. Coding Records

Code the following examples.

Example 1
Cover:

Sports

Magazine

Sports Magazine is published monthly

Your library has holdings from volume 1 number 1, January 1989. The title is classified using the LC call number: GV561 .S761. Volumes 1 through 11 are bound as individual volumes.

Type: y Encoding Level: 4 Receipt./Acquisition status.: 4 Acquisition Method.: p Intent to Cancel: General Retention: 8 Specific Retention: Language: eng Completeness: 1 Lending: b Reproduction: a

004 $a [System generated]
007 $a ta

852 00 $b My library $h GV561$i .S761

853 20 $8 2 $a v. $b no. $u 12 $v r $i (year) $j (month) $w m $x 01

866 41 $8 1 $a v.1-11(1989-1999)

863 41 $8 2.1 $a 12 $b 1 $i 2000 $j 01

863 41 $8 2.2 $a 12 $b 2 $i 2000 $j 02

863 41 $8 2.3 $a 12 $b 3 $i 2000 $j 03

863 41 $8 2.4 $a 12 $b 4 $i 2000 $j 04

863 41 $8 2.5 $a 12 $b 5 $i 2000 $j 06

863 41 $8 2.6 $a 12 $b 6 $i 2000 $j 06

863 41 $8 2.7 $a 12 $b 7 $i 2000 $j 07

863 41 $8 2.8 $a 12 $b 8 $i 2000 $j 08

863 41 $8 2.9 $a 12 $b 9 $i 2000 $j 09

863 41 $8 2.10 $a 12 $b 10 $i 2000 $j 10

863 41 $8 2.11 $a 12 $b 11 $i 2000 $j 11

Example 2
Cover:

Sports
Magazine
Special Index Issue
Index for volumes 1-10 (1989-1998)

How would this issue be coded in order to add it to the record with the basic units?

855 ## $8 3 $a v. $i (year/year)

865 41 $8 3.1 $a 1/10 $i 1989/1998

Example 3

Fill in holdings as far as you can. Summarize where possible, assuming regular numbering.

v.1 1979 (no.1-4) Jan,Apr,Jun,Sep v.2 1980 " v.3 1981 no. 3 v.4 1982 v.5 1983 v.6 1984 + Suppl. 1984 v.7 1985 1986 (no.1-4) Spr,Sum,Fall,Winter	1987 " 1988 no. 2-3 1989 + Index 1979-1988 1990 1991 For later holdings see check-in record

853 20 $8 1 $a v. $b no. $u 4 $v r $i (year) $j (month) $w q $x 01
863 _ _ $8 ___ $a $i $w
863 _ _ $8 ___ $a $b $i $j
863 _ _ $8 ___ $a $i

854 20_$8 ____$a (year)
864 $8 $a

853 _ $8 $a (year) $b no. $u 4 $v r $i (year) $j (season) $w q $x 21
863 $8 $a $w
863 $8 $a $b $i $j $w
863 $8 $a

855 -- $8 $a v. $i (year/year)
865 $8 $a $i

Answer:
853 20 $8 1 $a v. $b no. $u 4 $v r $i (year) $j (month) $w q $x 01
863 40 $8 1.1 $a 1-2 $i 1979-1980 $w g
863 41 $8 1.2 $a 3 $b 3 $i 1981 $j 06 $w g
863 40 $8 1.3 $a 4-7 $i 1982-1985
854 20 $8_1_ $a (year)
864 41 $8 1.4 $a 1984 $z bound with v.6
853 20 $8 2 $a (year) $b no. $u 4 $v r $i (year) $j (season) $w q $x 21
863 40 $8 2.1 $a 1986-1987 $w g
863 40 $8 2.2 $a 1988 $b 2-3 $i 1988 $j 22-23 $w g
863 40 $8 2.3 $a 1989-1991
855 -- $8 2 $a (year/year)
865 41 $8 2.4 $a 1979/1988 $z bound with 1989

Note: It would also be possible to itemize the volumes with the supplement and the index in a separate 863 field and include a subfield $z:
863 41 $8 1.4 $a 6 $i 1984 $z includes supplement: 1984
---
863 41 $8 2.3 $a 1989 $z includes index to 1979/1988.
863 40 $8 2.4 $a 1990-1991

Library of Congress
Comments: lcweb@loc.gov (10/23/2000)

Appendix 8. More Information About Holdings

This appendix contains several types of additional information. Part 1 contains a list of system vendors with links to their homepages. Part 2 contains a comparison chart of the MARC 21 Holdings Format and other schema that generally predated the standard, along with descriptions of the OCLC LDR, the RLIN Holdings Segment and SERHOLD, a system developed at the National Library of Medicine for medical libraries.

Part 1. Vendor Implementations of the MARC Format for Holdings Data

The following is a partial list of library system vendor web pages. Each vendor has posted information about how they have implemented the MARC Format for Holdings Data.

Ameritech Library Services:	http://www.amlibs.com
Data Research Associates:	http://www.dra.com
Endeavor Information Systems:	http://www.endinfosys.com
GEAC:	http://www.geac.com
Innovative Interfaces Inc.:	http://www.iii.com
SIRSI Corporation:	http://www.sirsi.com
VTLS, Inc.:	http://www.vtls.com

If your system vendor is not on the list, contact them directly for more information about their plans for implementing the MARC Format for Holdings Data.

Part 2. Other holdings systems
A. OCLC Local Data Records

By Sharon Wiles-Young (Lehigh University)

Prior to the development of the MARC Holdings Format, OCLC developed the "local data record" or LDR for the recording of holdings. Many libraries have used the LDR over the past years. Recently there have been studies undertaken on the future of Union Listing at OCLC. The studies examine all uses of union lists,such as resource sharing, collection development and reference applications. The question of what will happen to union lists with the transition to electronic serials, was also investigated. On the local level, libraries are concerned about the time it takes to create and update LDRs on OCLC and the duplication of effort when holdings are also entered into their online catalogs.

The research has shown the direct correlation between LDR's kept up-to-date and the fill rate for interlibrary loan both for lending and borrowing. Also, OCLC found that the transition to all electronic serial titles will proceed slowly, and the need to locate and determine what materials are accessible in print and online will increase. At the same time, the serial community has become more cognizant of the holdings standards: US MARC Format for Holdings Data, and for displays, ANSI/NISO Z39.71 and the implementation of these standards in the local automated systems. So the OCLC Task Force on Union Listing made several recommendations but the most important recommendation is as follows:

> "OCLC should develop a viable, scaleable service to provide automated batch record processing to update OCLC Union List holdings for OCLC Union List participants and Union List Group Access participants. The service must accept serials holdings information from a participant's local automated system or other sources in a standard format and process it to update the library's OCLC union list holdings. "

Final Report of the Ad Hoc Task Force on Union Listing
http://www.oclc.org/oclc/union/taskforce.htm

B. RLG's Use of Holdings Fields in RLIN Bibliographic Records

By Ed Glazier, RLG

Prior to the development of the USMARC Format for Holdings and Locations, RLG developed a local holdings structure to support locations and call numbers for institutional records. This is called the RLIN Holdings Segment. It contains only a small number of data elements. It is still used for online input into the RLIN Bibliographic files and is created in some instances when local system records use non-MARC holdings fields. With the addition of the AMC (Archival and Materials Control) format to the RLIN database, an Archival Record Control segment (ARC) was designed to record processing and holdings information related to archival records, particularly collection level records. With the implementation of format integration in all bibliographic files, online users can choose either an RLIN Holdings Segment or an ARC segment to record local data. In addition, RLG supports all of the fields in the MARC21 Holdings Format for batch-loaded records, so no separate column is shown for that data; it is equivalent to the USMARC holdings column.

RLIN has also supported input of an ANSI standard summary holdings statement for serials in a local field that was part of the bibliographic segment of a record, called SHS (Summary Holdings Statement).

In the chart below in the columns for the RLIN Holdings segment and the RLIN ARC segment, the field names used in RLIN are shown. In addition, if the data is exported in MARC21 format, the MARC equivalent has been added. For comparison, the subfields of the RLIN local field SHS, Summary Holdings Statement have also been added.

Acquisitions data was formerly supported in the RLIN Acquisitions subsystem. However, use of that system has been discontinued.

C. Comparison of MARC 21 Holdings Fields, OCLC LDR, SERHOLD, and RLIN holdings

Data contributed by Margi Mann (OCLC/WLN), Ed Glazier (RLG), and Deena Acton (NLM)

Data Element	OCLC LDR	MARC 21 Holdings	SERHOLD	RLIN Holdings Segment	RLIN ARC (Archival Record Control) Segment	RLIN Summary Holdings Statement (SHS)
Acquisition Status	SCHD/SIHD $e	008/ 6	Acquisition			SHS$g
Action	PRES $a	583 $a	Not present		ACT (583$a)	
Action Agent	PRES $k	583 $k	Not present		AGT (583$k)	
Action Identification	PRES $b	583 $b	Not present		AIDN (583$b)	
Action Interval	PRES $d	583 $d	Not present		AIN/AIR (583$d)	
Authorization	PRES $f	583 $f	Not present		AUTH (583$f)	
Bibliographic Record Control Number	OCLC no.	004	Bib_ID (not seen by user)	ID (no separate number for holdings segment)	ID (no separate number for holdings segment)	ID (no separate number for holdings segment)
Call Number: 1st part	CLNO $a	852 $h	Not present	CALL$a LCAL$a CCAL$a	RGPN (Record Group Number)	
Call Number: 2nd part	CLNO $b	852 $i	Not present	CALL$b LCAL$b CCAL$b		
Chronology	SCHD/SIHD $y	866 $a	Years owned	VOL$y LVOL$y		SHS$k
Completeness	SCHD/SIHD $g	008/16	Complete-ness			SHS$f
Contingency for Action	PRES $e	583 $e	Not present		CONT (583$e)	
Copy Number	Copy	852 $t	Not present	COP		SHS$d
Date of Report	SCHD/SIHD $a	008/26-31	Date last added or modified			SHS$e
Enumeration	SCHD/SIHD $v	866 $a	Volumes owned	VOL$v		SHS$j

				LVOL$v		
Extent	PRES $n	583 $n	Not present		EXTE (583$n)	
Holding Library Code	Hld lib	852 $b	Not present	LOC	PLOC	SHS$a, $b
Institution Symbol	SIHD $a	852 $a	LIBID	LI (Library identifier)		SHS$a
Jurisdiction	PRES $h	583 $h	Not present		JUR (583$h)	
Local Notes	SCHD/SIHD $n	866 $z	Not present	ANT SHNT LANT		SHS$i
Materials Specified	PRES $3	583 $3	Not present		MATL (583$3)	
Method of Action	PRES $i	583 $i	Not present		METH (583$i)	
Physical Form	Phys form	007	Physical format			
Public Note	PRES $z	583 $z	Not present		PNT (853$z)	
Retention Status	SCHD/SIHD $f	008/12	Retention policy			SHS$h
Site of Action	PRES $j	583 $j	Not present		SITE (583$j)	
Status	PRES $l	583 $l	Not present		STAT (583$l)	
Time of Action	PRES $c	583 $c	Not present		TAC/TFAC (583$c)	
Type of Holdings	Hld type	Leader 17	Encoding level			
Type of Unit	PRES $o	583 $o	Not present		TUNI (583$o)	

Appendix 9: Answers to Exercises

Session 3. Exercise
Fixed field and Location/Call Number Field

1a. Receipt/acquisition status code

1b. General and special retention codes

2. $b=location; $k=call no. prefix; $h call number, classification part; $i work no. $z public note $x non-public note (reason)

3a. 852, 1st indicator.

3b. General retention code.

4a. 852, 1st indicator, from 5 to 1; remove 852 $l.

4b. 852 $h and $i will follow 852 $c.

Session 4. Exercise 1
Caption and Enumeration/Chronology Data

1. You have a subscription to the Journal of Soapbox Oratory starting with Volume 3, no. 1 (June 1999). You have received: v. 3, no. 1 (June 1999), v. 3, no.2 (August 1999), v. 3, no.3 (October 1999); v. 3, no. 5 (February 2000) and v. 3, no. 6 (April 2000). No issue was published for v. 3, no. 4. Using the Handbook, give the enumeration and chronology for the first year of receipt, corresponding to the 853 enumeration and chronology captions.

853 _ _ $8 1 $a v. $b no. $i (year)$j (month)
863 _ _ $8 1.1 $a 3 $b 1 $i 1999 $j 06
863 _ _ $8 1.2 $a 3 $b 2 $i 1999 $j 08
863 _ _ $8 1.3 $a 3 $b 3 $i 1999 $j 10 $w n
863 _ _ $8 1.4 $a 3 $b 5 $i 2000 $j 02
863 _ _ $8 1.5 $a 3 $b 6 $i 2000 $j 04

Session 4. Exercise 2
Indicators and Compression

Here is the answer from our last exercise. Leave the first 853 indicator blank, since there is no pattern. Using the space beneath the holdings, write in what the compressed data would look like and supply the other appropriate indicator values (considering these issues as unbound).

853 0 $8 1 $a v. $b no. $i (year)$j (month)
863 40 $8 1.1 $a 3 $b 1-3 $i 1999 $j 06-10 $w n
863 40 $8 1.2 $a 3 $b 5-6 $i 2000 $j 02-04

Session 5. Exercise
Publication Patterns

1. *Bimonthly: vol. 47, no. 1, June 1991*
853 2 0 $8 1 $a v. $b no. $u 6 $v r $ i (year) $j (month) $w b $x 06

2. *Quarterly : vol. 3, no. 1 Winter 1989*
853 2 0 $8 1 $a v. $b no. $u 4 $v r $ i (year) $j (season) $w q $x24

3. *Monthly; does not publish December, June, July and has a combined issue of August/September: vol. 12, no. 1 Jan. 1990*
853 2 0 $8 1 $a v. $b no. $u 8 $v r $ i (year) $j (month) $w m $y pm01,02,03,04,05,08/09,10,11

4. *Daily with a combined Saturday/Sunday issue. Friday January 1, 1999*
853 2 0 $8 1 $a (year) $b (month) $c (day) $w d $y pdmo,tu,we,th,fr,sa/su

5. 9 times a year in 3 volumes, numbering continues for the year: vol. 22, no. 1 Jan. 1993, vo1. 23, no. 4, April 1993, vol. 24, no 7, Oct. 1993
853 2 0 $8 1 $a v. $b no. $u 3 $v c $ i (year) $j (month) $w m $x 01,04,10

6. Irregular with 9 issues per volume: vol. 6, no. 1 Sept. 1998
853 2 0 $8 1 $a v. $b no. $u 9 $v r $i (year) $j (month) $w x

7. "1990 Annual Best of the Best of the Literature Review" which is a supplement to the monthly title Literature Review.
854 2 0 $8 1 $a (year) $o Annual best of the literature $w a

8. Monthly, in 2 volumes: vol. 3, no. 1 January 1989; vol. 4, no. 1 July 1989
853 2 0 $8 1 $a v. $b no. $u 6 $v r $ i (year) $j (month) $w m $x 01,07

Session 6.
Textual Holdings
Retrospective holdings or holdings for a former or ceased title

852 01 |aLJM |b Main |hD1 |i.S72

866 41 |8 0 |a v.1-10,12-30(1962/63-1991)

868 41 |8 0 |a v.1-30 |z Cumulative Index

Current title with retrospective holdings:

852 01 |aLJM |bMain Collection|hD1|i.S721
866 41 |81|av.31-39(1994-2000)
853 20 |82|av.|bno.|u4|vr|i(year)
|j(season)|wq|x22
863 41 |82.1 |a40|b1|i2001|j22
863 41 |82.2 |a40|b2|i2001|j23
863 41 |82.3 |a40|b3|i2001|j24

Exercise for Title Change:
Books
852 01 |aLJM |bLiterature Building |h Z1007 |i .B71
866 41 |8 0 |a v.1,25-50(1927,1951-1976)
867 41 |8 0 |a no.1-4(1951-1954)|zSpecial Supplement
Holding Display:
Long University, Literature Building
Z 1007 .B71
v.1,25-50(1927,1951-1976)
Supplement: no.1-4(1951-1954) Special Supplement

World Literature Answer:

852 01|aLJM |bLiterature Building |hZ1007 |i.B711
866 30|8 1|8 2 |av.51- (1977-) |z Some gaps
853 20|8 2 |av. |bno. |u3 |vr |i(year) |j (month) |wt
853 20|8 3 |av. |bno. |u4 |vr |i(year) |j (season) |wq |x24
863 42|82.1|a74 |b 1 |i2000 |j01
863 42|82.2 |a74 |b 2 |i2001 |j05
863 42|82.3 |a74 |b 3 |i2001 |j09
863 41 |83.1 |a75 |b1 |i 2001 |j 24
863 41 |83.2 |a75 |b2 |i 2001 |j 21
863 41 |83.3 |a75 |b3 |i 2001 |j 22
863 41 |83.4 |a75 |b4 |i 2001 |j 23
Holding display: Long University, Literature Building Z1007 .B711
v.51-(1997-) Some gaps
v.75:no.1(2001:winter) v.75:no.2(2001:spring)
v.75:no.3(2001:summer) v.75:no.4(2001:fall)

Session 6. Exercise
Textual Holdings

Title: quarterly History; library location code 234560; classed in LC, call number D1.H5.
You have v.1-50, 1901-1951, with a few missing issues; plus an index to those volumes. Then v. 51, no. 1-3 (Mar, May, July 1952) bound as a unit, and v. 52, no. 1 (Mar. 1953). Publication was suspended until volume 53 no. 1 in March 1954. The title became semiannual. You have further v. 53-59 complete (Mar. 1954-Nov. 1960). The title ceased at that point.

853s are given. Fill in the 852 information. Code the first 50 volumes and their index as textual holdings only. Code the decade of volumes between 1951 and 1960 as coded holdings, but suppress them in favor of a textual display. Use all appropriate subfields. Where the index goes is a local decision.

852 01 $b 234560 $h D1 $i .H5

853 20 $8 2 $a v. $b no. $u 4 $v r $i (year) $j (month) $w q $x 03

853 20 $8 3 $a v. $b no. $u 2 $v r $i (year) $j (month) $w f $x 03

866 31 $8 1 $a v.1-50(1901-1951) $z Some issues missing

868 41 $8 1 $a v.1/50(1901/1951)

863 43 $8 2.1 $a 51 $b 1-3 $i 1952 $j 03-07 $w g

863 43 $8 2.2 $a 52 $b 1 $i 1953 $j 03 $w n

863 42 $8 3.1 $a 53-59 $i 1954-1960

866 31 $8 2 $8 3 $a 51-59(1952-1960) $z Some gaps

Session 7: Exercises
Special Problems

Exercise 1

863 **41** $8 **1.1 $a 4 $b 1 $i 2001 $j 02/04**

863 **41** $8 **1.2 $a 4 $b 2 $i 2001 $j 05/07**

863 **41** $8 **1.3 $a 4 $b 3 $i 2001 $j 08/10**
863 **41** $8 **1.4 $a 4 $b 4 $i 2001 $j 11/01**

To alter the fourth statement, there is more than one solution:

a. **Change $i 2001 to $i 2001/2002**. Some systems will display this correctly; others will display as 2001/2002:Nov./Jan., which is at least intelligible but a little puzzling; or,
b. **Include the entire chronology statement in a single subfield $i: $i 2001:11/2002:01.**
c. **Do the above, but use natural language chronology** if the system will not display a spanned numeric chronology on two levels: **$i 2001:Nov./2002:Jan.**

Exercise 2

863 41 $8 **1.1 $a 1 $b 1 $i 2002 $j 23**

863 41 $8 **1.2 $a 1 $b 2 $i 2002 $j 24**

863 41 $8 **1.3 $a 1 $b 3 $i 2003 $j 21**

865 41 $8 **1.1 $a 2002/2003**
[Note that the link and even sequence number can be re-used for base volumes, supplements, and indexes]

Exercise 3

863 40 $8 **1.1 $a 4 $b 1-3 $i 2002 $j 01-03**

Exercise 4

863 40 $8 **1.1 $a 10 $i 2000/2001**

863 41 $8 **1.2 $a 11 $b 1 $i 2001 $j 09**

Display: **v.10(2000/2001)**
v.11:1st semester(2001:Sept.)
(this display could also be on one line, with space between each statement)

Exercise 5

863 43 $8 **1.1 $a 20 $i 2000**

863 43 $8 **1.2 $a 21 $i 2001**

863 43 $8 **1.3 $a 22 $i 2002**

866 41 $8 1 $a 20-22(2000-2002)

[Note: textual holding replaces all coded holdings with link number 1. Indicators of a textual holdings field have a different meaning from those of an 863; these indicate holdings at Level 4 using the latest display conventions (Z39.71).

Exercise 6

863 40 $8 **1.1 $a 1-80 $g 142-222 $i 1884-1957**

Display**: new ser.:no.1-80=no.142-222(1884-1957)**

Appendix 10
Item Fields

An item field contains data applicable to a single physical piece.

Item fields are a belated addition to the MARC Format for Holdings Data, entering with the 1994 update. At least one system at the start of the millennium—the new TAOS version of DRA—is implementing them, so it's likely that they will be seen in others before long.

Item records are of course a part of current systems, and their use pre-dates the MARC holdings format. Even where a MARC holdings record exists, the item record is usually a non-MARC, proprietary segment of the data, linked to the MARC record by a related ID number. Item records contain information needed by the user, including the piece-level information which displays in an OPAC, and which the advanced Z39.50-based search engines are now searching out and combining with holdings information to form part of the report sent in answer to a remote multiple-catalog search.

It should be stated that even with MARC item fields in place, there will still be a system-dependent item record in the local OPAC. This is because the MARC item fields do not include the temporary and transaction-level data that is needed for the tracking and day-to-day management of library holdings. Instead, the new fields are limited to the kind of data that is *permanent or relatively permanent.* Unfortunately, this may exclude some of the crucial data needed by staff and users, particularly that circulation transaction data that will tell the searcher whether the volume is on the shelf or not. This exclusion in the Format means that remote search engines will have to interface to many proprietary database designs in locating and combining availability status data with MARC holdings data for display. However, other data, such as withdrawn and lost status data, may be MARC-coded in the new item fields.

The Format states, "These fields contain item level information about the pieces of the item specified in the holdings record. They contain various data elements that it may be desirable to record for specific items for use in acquisition or circulation applications, among others."

Again, these fields come in a set of three:
- 876 for Basic bibliographic item,
- 877 for Supplements,
- 878 for Indexes.

The indicators of the item field are *undefined.*

In the list of subfields below, several are covered in the SCCTP Serial Holdings Workshop. In systems without item fields, several subfields ($p, $t, $x and $z) are located in piece holdings fields, 863-865. They may also be found in some 866-868

fields, if the system permits—though the textual holdings fields, being designed for summaries, are normally less likely to contain item-level information than 863-865.

Here is the list of subfields for 876-878 (Item fields):

required for serials (Encoding level 3 or 4):

internal item number ($a) [the item, or piece-level, record ID] , plus ***either:***
link and sequence no. ($8)
Materials specified ($3)

optional subfields:

piece designation ($p) [the piece's barcode or accession]
copy number ($t)
cost ($c)

date acquired ($d)

Ex. 863 41 $8 1.2 $a 1993/1994
876 ## $8 1.2 $a AAH8128-1-1 $t 2 $c $41.00 $d 19940622 $pA14802137389

source of acquisition ($e)
use restrictions ($h)

Ex. 854 10 $8 1 $a v. $b suppl. $i (year)
864 41 $8 1.1 $a 10 $b 1 $o EU Alumni register $i 1997
877 ## $8 1.1 $a ADX-8900-3 $e Alumni Assoc. anniversary gift $h Building use

item status ($j) [note: relatively permanent changes in status, like loss or withdrawal from a collection]
temporary location ($l)

Ex. 866 41 $a v.4-8(1937-1941)
876 ## $3 v.4 $a 0045-1 $j Lost
876 ## $3 v.5 $a 0045-2 $l Social Studies alcove

public/nonpublic notes ($z,x)

Ex. 863 20 $8 1.56 $a 2001
876 ## $8 1.56 $a 2870958a $t 1 $z Pocket diskettes (4) $x Transfer to Reference

Items are linked to fields according to some fairly strict rules. *The examples above show the two types of links.*

Subfield $8 is used to link an item field to a coded 863-865 field. Serial holdings records with items must be encoded, at a minimum, at Level 3. Each part for which an item field is desired must be input separately. The link and sequence numbers of the 86X and the related 87X must be identical. This means that item fields are compatible with itemized holdings, but not with summaries input in 863-865.

Item fields may be linked to Textual holdings fields, but different restrictions apply. Textual fields may contain summaries, but only one physical piece in the summarized holdings may be represented by each item field. That piece is enumerated in subfield $3 of the associated 87X field. If the Textual Holdings field information is not equivalent to a physical piece, the $3 subfield must contain only the information pertaining to a single piece; and it is not repeatable(each piece needs a separate item field).

Further examples:

$8, when linking to 863-865

fields must be itemized, linked by identical $8 subfields

Ex.: 863 41 $8 1.5 $a 109 $b 1-6 $i 1990 $j 01-06
876 $8 1.5 $a AAA-1334 $j Lost $p A0043456788

$3, when linking to 866-868

Ex.: 866 31 $8 1 $a v.55-56 $zlack v.55:no.4, 56:no.1,4
876 ## $3 v.55:no.1-3 $a ACC1322 $p 00014361655 $c $6.00
876 ## $3 v.56:no.2-3 $a ACC1323 $p 00014346345

Appendix 11
Further exercises for more advanced trainees

Salud (Monterrey, Mexico) is currently received.

(First series)
The title began in 1957 on a quarterly basis with Año 1.
The library has only nos. 1 (jul.-sept.) and 2 (oct.-dic.) of the first volume. There is a long gap plus a non-gap break during a suspension.

(Second series)
The library holdings resume after the title resumed publication as a semiannual with nueva ser., v.1, 1ºsemestre (enero-jun. 1970) which is also called año 14, no. 1 in continuation of the earlier series.
The library lacks nueva ser., v. 4, 2ºsemestre (año 17, no. 2 1973) but has otherwise complete holdings through nueva ser., v. 25(also called v. 38 (1994).
It also has an annual supplement called Salud pública published for the years 1971, 1972, and 1973. An index to the new series, v. 1-25 (1970-1994) is also held.

(Third series)
In 1995 the title became a monthly (we hold v. 26, no. 72 (enero)-v. 31: no. 83 (dic. 2000) bound –no alternative numbering) Issues for enero 2001(v. 32, no. 144) and febr. 2001(v. 32, no. 145) are held unbound.

You have everything in front of you, so can code it at the highest level.

Code this title for location 30012 (=Main), call no. LC RA650.M4S3 or Dewey 362.1 M372s (group choice)

1st series—Textual holdings (866-868; also code 852)

2nd series—Coded holdings (853-855, 863-865) (Summarize bound vols. around vol. with gap, itemize supplements)

3rd series—Coded holdings suppressed in favor of textual holdings. (Summarize)

Use correct indicator values. A good idea: Code linking fields and indicators last!!

852	_ _	**$b**	**$h**	**$i**	
853	_ _	**$8**			*[nueva ser.]*
853	_ _	**$8**			*[ser. 3]*
854	_ _	**$8**			*[Salud pública]*
855	_ _	**$8**			*[Index]*
866	_ _	**$8**			*[Ser. 1]*
863	_ _	**$8**			***Nueva ser. Give***
863	_ _	**$8**			*in range, except*
863	_ _	**$8**			*itemize*
864	_ _	**$8**			*incomplete vol.*
864	_ _	**$8**			*& supplements*
865	_ _	**$8**			**MORE** ↓

863	_ _	**$8**	*Ser. 3. Itemize unbound issues but display an "open" holding.*
863	_ _	**$8**	
863	_ _	**$8**	
866	_ _	**$8**	

Answers

852 01 $b 30012 $h RA650.M4 $i S3 OR
852 11 $b 30012 $h 362.1 $i M372s
853 20 $8 2 $a nueva ser.:v. $b +semestre $u 2 $v r $i (year) $j (month/month) $w f $x 01 $g v. $h no.
853 20 $8 3 $a ser.3:v. $b no. $u 12 $v c $i (year) $j (month) $w m $x01
854 10 $8 2 $a (year) $o Salud pública $w a
855 $8 2 $a nueva ser.:v. $i (year/year)
866 41 $8 1 $a v.1:no.1-2(1957:jul./sept.-oct./dic.),;
863 40 $8 2.1 $a 1-3 $i 1970-1972 $g 14-16 $w g
863 41 $8 2.2 $a 4 $b 2 $i 1973 $j 07/12 $g 17 $h 2
864 41 $8 2.1 $a 1971
864 41 $8 2.2 $a 1972
864 41 $8 2.3 $a 1973

[itemization for incomplete volumes; also for annual supplements, perhaps so that they can circulate]

863 40 $8 2.4 $a 5-25 $i 1974-1994 $g 18-38
865 41 $8 2.5 $a 1/25 $i 1970/1994 $g 14/38
863 42 $8 3.1 $a 26-31 $i 1995-2000
863 43 $8 3.2 $a 27 $b 144 $i 2001 $j 01
863 43 $8 3.3 $a 28 $b 145 $i 2001 $j 02
866 41 $8 3 $a ser.3:v.26(1995)-

[coded holdings often preferred because they allow holdings to be manipulated by computer. Many libraries would further compress the holdings for display purposes]

Possible display (NISO):*
Salud (Monterrey, Mexico)
Location: Main Call no. [choice]

Holdings:
v.1:no.1-2(1957:jul./sept.-oct./dic.),;
nueva ser.:v.1-3(1970-1972)=v.14-16,
nueva ser.:v.4:2.semestre(1973:jul./dic.)=v.17:no.2
nueva ser.:v.5-25(1974-1994)=v.18-38
Supplements: Salud pública
1971
1972
1973
Index: nueva ser.:v.1/25(1970/1994)=v.14/38

ser.3:v.26(1995)-